

25 September 1998

MEMORANDUM

TO: Members, University Senate

FROM: University Senate Council

RE: AGENDA ITEM: University Senate Meeting, Monday, 12 October 1998 at 3:00 p.m. W.T. Young Auditorium, first floor. For Discussion and Action: Criteria for Privilege and Tenure; For Information only: Final Report, Ad Hoc Committee on Faculty Title Series

At its last meeting for the 1997-1998 academic year on April 13, 1998, the University Senate discussed and debated the proposed changes to AR II-1.0-1 regarding Appointment, Reappointment, Promotion and Tenure. At that time, the Senate decided to postpone voting on the recommendations until a final report from the Ad Hoc Committee on Faculty Title Series was available for review. The consensus was that the recommendations in that report might affect the recommendations of the Appointment, Reappointment, Promotion and Tenure Report. Copies of both are attached.

The Senate Council has carefully reviewed both reports and held discussions with one of the co-chairs of the Ad Hoc committee on Faculty Title Series. The Council believes the reports are completely complementary and do not contradict one another. The Council voted unanimously to recommend the P&T Report be adopted. Recommendations from the Faculty Title Series Report will be considered by the Senate later in the year.

*Note:* If approved, the Privilege and Tenure Report will be forwarded to the Administration for inclusion in the Administrative Regulations

US Agenda: CoverLetter: P&T and STS, 10.12.98

25 September 1998

MEMORANDUM

TO Members, University Senate  
FROM University Senate Council  
RE AGENDA ITEM: University Senate Meeting, Monday, 12 October 1998 at 3:00 PM. Criteria for Privilege and Tenure

**CURRENT**: From the Current Administrative Regulations  
AR II-1.0-1

V. Criteria of Evaluation for Appointment and Promotion in the Regular Title Series

**PROPOSED**: (a new section A is added)

V. Criteria of Evaluation for Appointment, Reappointment, Promotion and Tenure

A. Introduction

In order to:

1. assure teaching, research and other creative activity, and service are of high quality;
2. maintain a diverse university faculty
3. support the faculty in preparing students to participate effectively in a democratic and pluralistic society;
4. foster rigorous professional standards; and
5. maintain a high quality of shared academic governance;

the University of Kentucky adheres to the following general system for determining academic appointment, tenure, and rank.

The University of Kentucky is distinguished as the state's flagship institution for research, teaching and service. The research scholarship of a dedicated and creative faculty enhances the teaching and service missions of this land grant university.

The balance of emphasis between [the various forms of] scholarship and other assigned activities varies from one faculty position to another. Forms of scholarship appropriate to each unit's

specific mission within the University should be clearly written as guidelines by the unit's faculty, taking into consideration the full range of UK academic and civic mandates.

**In the area of research and/or other creative activity, University faculty have a responsibility for the creation of knowledge. Common to all endeavors is the expectation that the work is original, of high quality, and validated by a rigorous peer review process. Communication of the work's significance to appropriate audiences is an integral part of the University's mission. The documented quality of research and/or creative scholarship shall be an integral component of the promotion and tenure evaluation process as appropriate given the faculty member's assignment.**

**Superior teaching scholarship shall be recognized as an integral component of the evaluation for promotion and tenure as appropriate given the faculty member's assignment. Contributions to students learning inside and outside the classroom that contribute to a learning environment(e.g., service on committees enhancing instructional practice, as an advisor) should be recognized in the evaluation process. Objective evidence of the quality of teaching scholarship shall be included in the dossier.**

**Finally, service and outreach to the University, local, state, national and international communities also must be recognized in evaluations of candidates for promotion and tenure appropriate to the nature of their assignment. Faculty members are expected to engage in service related to their professional role as a scholar for the benefit of the broader community. Documented high quality scholarship related to service will be recognized as positive evidence for promotion and tenure.**

Objective and systematic appraisal of faculty candidates for initial and continued reappointment, promotion in academic rank, and granting of tenure is essential. The land grant mission and guidelines listed below provide common criteria applicable to all University of Kentucky faculty in the professorial rank.

**CURRENT:**

A. Areas of Activity

Four areas of activity are important in the evaluation of faculty for appointment and promotion in the regular title series: (1) teaching, including both formal classroom activities and informal influence on students' growth; (2) research and other creative productivity; (3) professional status and activity; and (4) University and public service.

Since all appointments and promotions shall be made on the basis of merit, the following detailed statements regarding each of these areas will serve as a guide to review committees evaluating the accomplishments of a faculty member.

**PROPOSED:** (section A becomes B and is changed)

B. **Areas of Activity**

Participation in any or all of these scholastic areas is appropriate in the evaluation of faculty at all ranks: (1) research and/or other creative activity; (2) teaching, advising and other instructional activities; (3) professional, University and public service.

Each of these areas is essential to the successful mission of a land grant university. **These criteria apply to all tenure track faculty, regardless of appointment. However, t**[T]he level of a faculty member's participation should be commensurate with his/her specified allocation of **distribution of effort** for each area. Excellence in research and creative scholarship, teaching, advising and other instructional activities, and in professional, University and community service should be rewarded. It is critical that all scholarly activities be well documented and recognized as positive evidence for promotion and tenure.

### **CURRENT:**

#### 2. Research and Other Creative Activity

The individual under consideration must show evidence of continuing research or creative activity in the particular field of assignment. Normally, publication in the form considered appropriate for the field will constitute this evidence. Evaluation of the quality of such publication is imperative, and specialists in the field from both inside and outside the University should be called upon to attest to the value of the individual's research. Since certain types of research or creative work require a longer period of development before publication than do others, evaluation also should be made of work in progress, particularly in cases where retention is involved. It should be understood that in certain activities, "publication" as used in this document may be achieved in modes different from those of the sciences and the book-based disciplines.

### **PROPOSED:** (this becomes section 1 and is changed)

#### 1. **Research and Other Creative Activity**

Faculty members should document their scholarship related to research and/or creative endeavors. Common to all endeavors is that the work is original, of high quality, and validated by rigorous peer review. Moreover, communication of the work's significance to the scholarly community and to the public at large is a component of the mission of a land grant university and, therefore, its evaluation is an integral part of the promotion and tenure process.

Evidence of recognition of research and/or creative activity and its long-lasting merit and worth is valued. The impact of a person's research or creative work will be assessed by the intellectual and creative traditions of his/her discipline, as stated by unit guidelines.

In addition to the more traditional methods of presentation, examples of creative scholarship include public performances and exhibitions, audio and visual recordings, applications of technical innovations, and both exterior and interior contributions to the built environment. This work must be evaluated for originality, significance, quality, and must be communicated to others. For example, the value of creative works can be determined through adjudicated productions using outside reviewers and/or peer review, publication of critical reviews of performances or exhibitions, and invited or juried shows or exhibitions.

**CURRENT:**

1. Teaching and Student Relations

Markedly superior teaching and advising are distinct values and should be recognized in appointment or promotion. Recognition also should be given to a faculty member's contribution to student welfare through service on student-faculty committees or as an advisor to student organizations.

Objective evidence of the quality of teaching shall be included in the final dossier. Such evidence should include: (a) reports by colleagues qualified in the field; (b) evaluations by students and, if available, graduates; and (c) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.

Colleges shall evaluate the quality as well as the quantity of academic advising done by each faculty member. The results of this evaluation shall be considered in the annual performance review and in the decisions concerning retention and/or promotion of each faculty member.

**PROPOSED: (this becomes section 2 -after research- and is changed)**

2. **Teaching, Advising and Other Instructional Activities**

Teaching involves creating a learning environment, as well as transmitting, transforming and extending knowledge. Excellence in teaching and advising are distinct values that are recognized in appointment and promotion. Themes for the teaching mission are to encourage students to:

- maximize use of their intellect;
- practice problem-solving;
- demonstrate the ability to think creatively; and
- foster inquiry, imagination, initiative and integrity.
- foster students' accomplishment of academic and career goals
- create an inclusive learning community in which students understand and value diversity
- of perspectives\_

A faculty member's contributions may be demonstrated in a diversity of ways. For faculty whose assignment includes teaching, evidence of successful fulfillment of these duties is critical for appointment and promotion. Teaching (and advising activities, where applicable) must be documented through the teaching portfolio. Educational activities extend far beyond the classroom, and the University of Kentucky acknowledges the importance of educating citizens of Kentucky, both on and off campus, as part of its land grant mission. Appropriate methods of documenting outreach activities and scholarly contributions to the state will be elaborated in unit guidelines. **Evaluation of the quality of instruction and advising shall include careful consideration of all materials in the Teaching Portfolio documenting the multiple forms of teaching scholarship.**

**CURRENT:**

3. Professional Status and Activity

The demonstration that the abilities of the individual under consideration are recognized outside the University is important in evaluation, but such recognition must be weighted according to rank. Obviously, a candidate for the lowest rank will not be likely to have achieved wide recognition. There are many ways in which extramural recognition may be evidenced, and those entrusted with evaluation will use the kind of evidence appropriate to their fields. Qualitative rather than quantitative judgments should be made.

4. University and Public Service

Effective participation in activities appropriate to the formation of educational policy and faculty governance and effective performance of administrative duties shall be taken into consideration in the evaluative process. A service component is a normal part of a faculty member's obligation to the University.

Service to the community, state, and nation also must be recognized as positive evidence for promotion, provided that this service emanates from the special competence of the individual in an assigned field and is an extension of the individual's role as a scholar-teacher. In the colleges of the Medical Center, patient care is recognized as a special competence in an assigned field and is an integral part of the service component. Public service unrelated to the individual's role as a scholar-teacher does not constitute evidence for appointment, promotion, or salary increase.

**PROPOSED: (sections 3&4 are collapsed into section 3 and changed)**

3. **Professional, University and Public Service**

The activities and contributions of faculty to their professional field are important in the evaluation process. Active interest in professional groups of colleagues and practitioners contributes to regional, national and/or international intellectual networks which supports the creation and dissemination of knowledge in a field. Further, contributions to this professional networking establish the faculty member's reputation outside the university and contribute to the overall image of the university. Documented evidence of professional leadership, activities, contributions and recognitions should be recognized as positive evidence for promotion and tenure.

Effective participation in activities appropriate to the formation of educational policy and faculty governance, and effective performance of administrative duties, will be taken into consideration in the evaluation process. A service component is a normal part of a faculty member's obligation to the University.

Faculty members are expected to engage in service related to their professional role as scholar for the benefit and development of the broader community. This includes local, state, national and international populations, and the University community. Documented scholarship related to service that is directly associated with one's special field of knowledge, expertise, and

professional role within the University will be recognized as positive evidence for promotion and tenure.

Citizenship activities of faculty members and projects unrelated to faculty members' professional roles in the University, while laudable, do not constitute evidence for academic tenure and rank.

**CURRENT:**

B. Balance and Intellectual Attainment

A major consideration in any appointment or promotion with tenure is superior achievement in the various activities discussed in the preceding paragraphs. While the proportion of these activities may vary in terms of the individual's assignments and specialty, it must be recognized that superior intellectual attainment is evidenced both by the quality of the individual's teaching and the quality of the individual's research or other creative activity. Ideally, individuals selected for tenure should demonstrate superiority in all of the major criteria discussed here and, while special circumstances may cause the weight of emphasis on each to vary, care must be taken to insure that outstanding performance in a single activity does not obliterate the other factors that should be considered in evaluating academic excellence.

**PROPOSED:**

B. Balance and Intellectual Attainment

A major consideration in any appointment or promotion with tenure is superior achievement in the various activities discussed in the preceding paragraphs. [While t] **The** proportion of these activities [may] **will** vary in terms of the individual's [assignments] **assigned distribution of effort**, specialty, and job description. [, it must be recognized that superior intellectual attainment is evidenced both by the quality of the individual's teaching and the quality of the individual's research or other creative activity.] Ideally, individuals selected for tenure should demonstrate superiority in all of the major criteria discussed here **as reflected in their assigned distribution of effort**. [and, while special circumstances may cause the weight of emphasis on each to vary, care must be taken to insure that outstanding performance in a single activity does not obliterate the other factors that should be considered in evaluating academic excellence.]

**PROPOSED: (C&D are added following B above which is unchanged)**

C. **Evaluation of Collaborative Efforts**

The products of collaborative efforts in teaching, research, and service shall be considered as evidence of scholarship by the candidate. The candidate shall document the contribution he/she has made to the collective project and appraisal of the candidate's effectiveness as part of the collaborative effort should include statements by co-members.

D. **Implementation at Unit Levels**

**The faculty of each unit is required to develop [guidelines] a recommendation related to its criteria of evaluation for initial and continued reappointment, promotion, and tenure for inclusion in its unit rules document, consistent with this [document] Regulation.**

**After review and approval, the dean of the college shall forward the educational unit's recommended criteria to the appropriate chancellor. The chancellor shall refer the recommended criteria to the appropriate area committee for evaluation, suggestions on any desirable and/or necessary revision, and approval. After approval of the criteria by an area committee, the chancellor shall approve or disapprove the educational unit's recommendation. A copy of the approved unit criterial statement shall be included in each appointment, promotion or tenure dossier.**

**CURRENT:**

C. General Criteria for Ranks

Although it is impossible to specify the exact criteria for judging an appointment or promotion to any one particular rank, the following general statements are guides for review committees.

1. Assistant Professor

Appointment or promotion to the rank of assistant professor shall be made after it has been determined that the individual has earned the terminal degree appropriate to the field of assignment and has a current capability for good teaching, research, and University service and a potential for significant growth in these areas.

2. Associate Professor

Appointment or promotion to associate professor shall be made only after an indication of continuous improvement and contribution by an individual both in teaching and research or other creative activity. Furthermore, the individual should have earned some regional recognition for excellence appropriate to the field of assignment.

3. Professor

Appointment or promotion to the rank of professor is an indication that, in the opinion of colleagues, an individual is outstanding in teaching and in research or other creative activity and, in addition, has earned national and, perhaps, international recognition. It should be stressed further that this rank is recognition of attainment rather than of length of service.

**PROPOSED:**

E. **General Criteria for Ranks**

The following general criteria for appointment and promotion serve as guidelines for persons involved in the decision process.

**Assistant Professor**

Appointment or promotion to the rank of assistant professor shall be made after it has been determined that the individual has earned the terminal degree appropriate to the field of assignment as recognized by the academic discipline, has capability for excellent scholarship and teaching, and demonstrates potential for significant growth.

**Associate Professor**

Appointment or promotion to associate professor shall be made only after a candidate has met the criteria for assistant professor and has demonstrated high scholarly achievements commensurate with his/her assignment in areas of: (1) research and other creative activity; (2) teaching, advising and other instructional activities; (3) professional, university and public service. Particularly, an indication of continuous improvement and scholastic contributions should be evident as documented by the candidate. Further, the individual should have earned external recognition for excellence in her/his scholarly activities. Where appropriate, this recognition should be on a regional **or national** level **as appropriate to** [in] the field of assignment.

**Professor**

Appointment or promotion to full professor shall be made only after a candidate has met the criteria for associate professor and has demonstrated high scholarly achievements commensurate with his/her assignment in areas of: (1) research and other creative activity; (2) teaching, advising, and other instructional activities; (3) professional, university and public service. Particularly, such an appointment implies that, in the opinion of colleagues, the candidate's scholarship is excellent and, in addition, s/he has earned a high level of professional recognition. Where appropriate, this recognition should be on a national or international level in the field of assignment. It should be stressed further that this rank is in recognition of attainment rather than length of service.

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Add:

FACULTY HANDBOOK ADDITION:

**Information on Policies and Procedures**

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## Promotion and Tenure

### Dossier and Considerations

The candidate and unit chairperson develop a dossier for each recommendation to promote and/or grant tenure. Such a dossier contains materials from the Standard Personnel file although ordinarily only materials since the last promotion or appointment are included in addition to the following material:

- a statement specifying whether the unit chairperson has or has not recommended the faculty member for promotion and tenure;
- the written judgment of each faculty member consulted in the unit;
- written evidence of consultation with and related materials submitted by appropriate undergraduate, graduate, and professional student advisory groups;
- at least three letters of evaluation from qualified persons outside the University, which the unit chairperson requests directly from appropriately qualified persons;
- the recommendation of the director of each multidisciplinary research center or institute with which the appointee is associated;
- the recommendation of each multidisciplinary research center or institute with which the appointee is associated;
- an updated curriculum vitae;
- a teaching portfolio; (excluding faculty in the Clinical, Extension, and Research Title Series)
- a bibliography of all published research articles and articles accepted for publication in refereed professional journals, patents, writings and a listing of other creative or professional productivity;
- copies of publications and published reviews or letters concerning publications and copies of materials related to creative productivity;
- copies of Distribution of Effort forms;
- copies of faculty performance reviews.

Contents of the file must include documentation related to teaching and student relations as well as advising. To document teaching efforts, the following are required:

- a brief reflective statement by the instructor which describes teaching and advising assignments, sets forth philosophies or objectives, and provides whatever information may be necessary to provide colleagues with a context for interpreting and understanding the other evaluative information;
- for each semester under review, a list of all courses taught, with the title, course number, number of students enrolled and -for each different course - a short description;
- representative course syllabi; and
- a quantitative and qualitative summary of student evaluations since the last review or promotion. (For considerations of promotion and tenure, but not of regular performance evaluation, department and/or college norms and rating scale must be included.)

The following are suggested but not required:

- materials prepared for teaching activities, such as assignments, exercises, handouts, examinations or other assessment materials;
- indicators of student learning, such as examples of graded work, reference to students who succeed in advanced courses of study and/or who earn academic awards, accomplishments of former students, and evidence of learning by the use of pre- and post-testing procedures;
- evidence of peer regard: colleague class visitation reports, and peer evaluations of course content, materials, assignments, and practices;
- documentation of teaching-related activity: curriculum and course development, consulting work, innovative teaching methods, participation in teaching programs of other units or at other universities;
- evidence of recognition: teaching-related grants, publications related to teaching and advising, teaching awards and honors; and
- enumeration and description of work with individual students: supervision of Honors students, independent or experiential learning, consultation with students outside the department.

Where advising is a portion of the faculty member's usual assignment, evaluation should include the extent of advising and its quality along with an indication of the grounds for evaluation, including the following required items:

- a section of the reflective statement which describes the nature and extent of advising and any other information necessary to provide colleagues with a context for evaluation of advising;
- for each semester under review, the number and level of undergraduate and graduate program advisees, and a list of masters and doctoral students for whom the instructor served as a member of a thesis or advisory committee;
- a list of those students for whom the professor served as preceptor, or director of a thesis or dissertation; and
- a summary of activities associated with student organizations and service on student-faculty committees.

Suggested, but not required are:

- student evaluation of advising; and
- evaluation of advising by unit colleagues or administrators.

Add:

Illustrations of possible activities to be included in the dossier and evaluated

To illustrate activities which help fulfill the tripartite mission of the land grant university and which could be incorporated into criteria for evaluation of promotion and tenure dossiers for faculty the following is provided. These criteria must be tailored to the opportunities for scholarship that exist within each unit or field.

### **Appendix**

To illustrate activities which help fulfill the tripartite mission of this land grant university, academic units should consider the following in developing their guidelines for initial and

continued reappointment, promotion in academic rank, and granting of tenure. These criteria should be tailored to the opportunities for scholarship that exist within each unit's field.

### **Research and Other Creative Activity**

Examples of research and other creative activity include, but are not limited to:

- publication of work in appropriate outlets;
- invitations to present work at colloquia, symposia, workshops, and conferences;
- publication of review articles and book chapters;
- authorship or editorship of books;
- citation of person's work by other scholars;
- garnering competitive research grants and contracts, as well as documenting extramural proposals which reflect scholarly quality;
- the creation and archiving of research data, technology, materials or procedures;
- development of intellectual property, such as inventions, patents, release of plant varieties, etc.; and
- documented evidence that one's research has been applied by others.

### **Teaching, Advising, and Other Instructional Activities**

Examples of teaching, advising, and other instructional activities include, but are not limited to:

- contributions to faculty governance of curriculum;
- academic program development and administration;
- classroom instructional performance;
- innovative pedagogy;
- creative delivery of teaching programs independent of time and location, to reach diverse or non-traditional student populations;
- academic advising and career counseling;
- integrative scholarship;
- student-faculty relations and welfare through service on student-faculty committees or as advisor to student's honor and professional organizations;
- recruitment and mentoring undergraduate and graduate students;
- independent study programs for students;
- critiques of fine, applied, and performing arts projects;
- extending University programs and expertise to public;
- counseling practitioners in their field of expertise; and
- leadership to improve instructional programming, techniques and learning aids.
- **directing research of graduate students, postdoctoral personnel, and visiting scholars;**

### **Professional, University, and Public Service Activities**

Examples of professional, University, and public service activities include, but are not limited to:

- evidence of professional activities, contributions, and leadership;

- awards and honors received from international, national, regional, and local peers, or professional organizations for scholarly work;
- international, national, regional, and local awards and honors received by graduate and undergraduate students who do research, teaching, or service activities while under the candidate's direction;
- editorial service or other invitations to review or adjudicate the work of others;
- Extension programming;
- clinical service;
- diagnostic and analytical services;
- information services;
- unsalaried service as consultant, advisor, or expert participant;
- preparation of public information materials and commentary, including public lectures;
- service to the public through contributions to public policy;
- enhancement of community and state programs;
- assistance with solving problems of communities or the state;
- integration of knowledge or technology which leads to new applications or interpretations of research data and/or helps solve problems;
- international development;
- contributions to public relations of the University;
- contributions to public awareness of teaching, research and service programs; and
- involvement in faculty governance.

### **Background and Rationale**

The Senate Task Force on Promotion and Tenure devoted academic year 1996-97 to a review of the promotion and tenure system at the University. Their report provided a number of proposed revisions which the Senate Council has reviewed and forwarded to the Senate over the course of this academic year. This proposal is a significant revision in the criteria for promotion and tenure. The task force intended to broaden and make more explicit the types of scholarship (e.g., the scholarship of discovery, teaching, application) that could be evaluated as a basis for promotion and tenure. In addition it sought to provide better guidance to those seeking promotion and tenure. Finally, it sought to make explicit the role of the academic unit and the University respectively in the process.

If approved, this proposal will be forwarded to the administration for inclusion in the Administrative Regulations.

Implementation Date: 1 July 1998

US Agenda: P&TCompDoc #3 10.12.98