

# **University Senate Agenda**

*All meetings are from 3:00 - 5:00 pm in the*

**NOTE LOCATION CHANGE –  
MEETING WILL BE IN THE LEXMARK ROOM, 209 MAIN BUILDING.**

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## **Monday, May 9, 2011**

1. Minutes and Announcements
2. Officer Reports
3. Chair
  - a. SC Resolution pg. 2
4. Vice Chair
5. Faculty Trustee Report
6. UK August 2011 Degree List (first) (Separate Handout)
7. Winter Intersession Calendar 2011-2012 pg. 3
8. Proposed Changes to *Senate Rules 1.3.3.A* ("Senate Council Chair") pg. 4
9. Committee Reports
10. Senate's Academic Programs Committee - Dan Wermeling, Chair
  - a. Proposed Deletion of Master of Arts in Distributive Education pg. 5-7
  - b. Proposed New Masters of Music in Music Therapy pg. 8-44
  - c. Proposed New Minor in Chinese pg. 45-51
  - d. Proposed New BA in Chinese Language and Literature pg. 52-76
11. Senate's Admissions and Academic Standards Committee - Alison Davis, Chair
  - a. Proposed Change to College of Medicine 800- and 900-Level Courses pg. 77-86
12. Senate's Academic Organization and Structure Committee - Dwight Denison, Chair
  - a. Proposed New Department of Otolaryngology - Head and Neck Surgery pg. 87-122
13. Gen Ed Naming pg. 123
14. State of Academic Affairs - Provost Kumble Subbaswamy
15. Comprehensive Tenure Review Process - Discussion Only pg. 124-142
16. Proposed New *Administrative Regulation* on International Travel pg. 143-145 - For Endorsement
17. Presidential Search Committee Faculty Representative

***Next Meeting: September 12, 2011***

University Senate  
May 9, 2011

Senate Council Resolution for President Todd

Motion from Senate Council:

That we thank President Todd for his service to the University of Kentucky over the past 10 years, and that we wish him the best in his new endeavors.

## 2011-2012 Winter Intersession

- **October 15, 2011** — Saturday — Priority deadline for admission to the Winter Intersession
- **October 31-November 22** - Monday through Tuesday - Priority registration for the 2011-12 Winter Intersession
- **November 18, 2011** — Friday — Winter Intersession registration for newly-admitted students
- **December 16, 2011** — Friday — Deadline for admission to the Winter Intersession
- **December 16, 2011** — Friday — Last day a student may drop a course or cancel registration with the University Registrar for a full refund of fees
- **December 19, 2011** — Monday — First day of class
- **December 19, 2011** — Monday — Last day to add a class for the 2011-2012 Winter Intersession
- **December 19, 2011** — Monday — Last day to officially withdraw from the University or reduce course load and receive an 80 percent refund
- **December 23, 2011** — Friday — Last day to officially withdraw from the University or reduce course load and receive a 50 percent refund
- **December 23, 2011** — Friday — Last day to drop a course without it appearing on the student's transcript
- **December 23, 2011** — Friday — Last day to change a grading option (pass/fail to letter grade or letter grade to pass/fail; credit to audit or audit to credit)
- **December 26 — December 30** — Monday through Friday — Academic Holidays
- **January 4, 2012**— Wednesday — Last day to withdraw from the University or reduce course load. Students can withdraw or reduce course load after this date only for urgent non-academic reasons.
- **January 10, 2012** — Tuesday — Final Examinations
- **January 10, 2012** — Tuesday — End of 2011-2012 Winter Intersession
- **January 13, 2012**—Friday—final deadline for submission of grades to the Registrar's Office by 12 noon

Senate Council Meeting  
January 31, 2011

**CURRENT RULE FOR ELECTING A SENATE COUNCIL CHAIR**

1.3.1.3 Officers of the Senate Council [US: 9/8/97]

The Senate Council shall elect its Chair in December preceding the academic year during which the Chair shall serve. All nine of the elected faculty representatives then serving on the Senate Council shall be eligible for election to the position. The incumbent Chair, if in his or her first year as Chair, shall also be eligible for reelection.

***PROPOSED* RULE FOR ELECTING A SENATE COUNCIL CHAIR**

1.3.1.3 Officers of the Senate Council [US: 9/8/97]

Given that the chair of the Senate Council is also chair of the University Senate, the Senate Council chair shall be elected by a majority of a voting quorum of elected faculty members of the University Senate. The election shall be held in the December preceding the first academic year during which the Chair shall serve. Members of the Senate may nominate current members of the Senate Council by notifying the chair of the Rules & Elections Committee at least one month in advance of the election date. The chair of the Rules & Elections Committee shall ascertain the nominees' willingness to serve. Candidates will be required to write a short description of their views of the role of Senate Council Chair. This information will be posted on the Senate web site at least two weeks prior to the election date. If the chair of the Rules & Elections Committee identifies only one candidate, then the election can be held at a regular meeting of the University Senate by a show of hands.

The term of the Senate Council chair shall be two years. The Senate Council chair is eligible to run for a second consecutive term. A Senate Council chair is not eligible to run for a third consecutive term. After a Senate Council chair steps down, he or she is not eligible to serve as Senate Council chair again for two years.



**PROGRAM SUSPENSION/DELETION FORM****1. General Information**

College: Education Department: Vocational Education (department no longer exists)

Major Name: Distributive Education Degree Title: MAEDU

Formal Option(s), \_\_\_\_\_  
if any: Specialty Field w/in \_\_\_\_\_  
Formal Options, if any:

CIP Code: 13.1320 Today's Date: 3/31/10

Requested Effective Date:  Semester following approval. OR  Specific Date<sup>1</sup>: 3/31/10

Contact Person in the Dept: Robert Shapiro Phone: 7-9795 Email: rshap01@uky.edu

**2. Suspension/Deletion Information**

Nature of action:  Suspension  Deletion

Rationale for suspension/deletion: Program no longer exists

What provisions are being made for students already in the program? no students in program for 20 years

Will another degree program replace the one suspended/deleted? no

Will courses connected with the program be dropped? Yes\*  No

\*If Yes, forms for dropping a course(s) must be attached.

<sup>1</sup> Suspensions/deletions are made effective for the semester following approval. No suspension/deletion will be made effective unless all approvals, up through and including Board of Trustees approval, are received.

## PROGRAM SUSPENSION/DELETION FORM

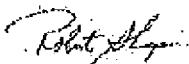
## Signature Routing Log

**General Information:**Proposal Name: Distributive EducationProposal Contact Person Name: Robert Shapiro Phone: 7-9795 Email: rshap01@uky.edu

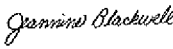
## INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

**Internal College Approvals and Course Cross-listing Approvals:**

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
College of Education	3/31/2010	Robert Shapiro / 257-9795 / rshap01@uky.edu	
		/ /	
		/ /	
		/ /	
		/ /	

**External-to-College Approvals:**

Council	Date Approved	Signature	Approval of Revision <sup>2</sup>
Undergraduate Council			
Graduate Council		 2010.05.05 13:57:50 -04'00'	
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

\_\_\_\_\_

<sup>2</sup> Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

December 14, 2010

Memo

To: Sheila Brothers  
 From: Dan Wermeling, Pharm.D.  
 Chair, Senate Academic Programs Committee  
 Re: Minutes  
 Present: Wermeling, Hippisley, Arthur, Dupont-Versteegden, Duncan  
 Absent: Wasilkowski (prior notice), Badger, Arrington

The Senate Academic Programs Committee met on December 6<sup>th</sup>, 2010 from 3-4 pm in room 220 CRMS. Based on the information provided, we recommend to Senate Council the following actions.

1. Moved, seconded and voted unanimously to suspend the Minor in Agriculture.
2. Moved, seconded and voted unanimously to suspend the Masters in Civil Engineering
3. Moved, seconded and voted unanimously to suspend the Master of Arts in Distributive Education.

SAPC also discussed the process for review and approval of programs, courses, etc. SAPC provides the following general impressions:

1. The process for new courses, programs, changes, deletions, etc., is not well understood and we do not understand it ourselves. We would benefit from a policy and procedure document if one exists along with template application forms.
2. The applications we receive are highly variable and do not address the issues addressed in the committee charge.
3. The process is inefficient in many ways, takes way too long, and does not serve faculty, students and education administrators.
4. It is hard to tell through the processes as to where value is added from review. Are charges from HCCC and GC different than ours for example?
5. Although there is a standing charge, there is not a charge for new committee business that relates to adding more value to our systems in some way. From my vantage point there is plenty of opportunity. Senate Council could make this part of the summer work, to develop charges in conjunction with past committee chairs. A Senate Council member, if not already assigned, could be the Committee liaison, so that your burden is reduced and less people coming to you.
6. The use of technology is not present and process is dependent on meetings and a single administrative staff person.
7. The Senate office appears to be overwhelmed and is unable to respond to requests to know what business is actually before us.
8. It is not apparent there is a succession plan for how leadership in committees is transferred. Hence vice-chairs could be next chairs. Or chairs could have more than one term.

These comments I hope are crafted in a way that also suggests there are available solutions. I believe there are. We would like to come to agreement regarding strategies and tactics to develop a much better system. The Committee has asked that I present these concerns to the Council, and if Council agrees and is willing to present to the full Senate. If Council agrees an option is to consider developing a plan of attack on these items and also present that to Senate.

April 13, 2011

**Minutes- Senate Academic Programs Committee**

April 12, 2011 3- 4 pm, Room 414 CRMS

**Members in Attendance**

Daniel Wermeling, Marilyn Duncan, Karen Badger, Greg Wasilkowski, Andrew Hippisley, Michael Arrington

**Members Absent:** (Prior Notice): Mary Arthur, Esther Dupont-Versteegden

**Agenda**

- New Master's of Music in Music Therapy

Dan Wermeling led the review along with Karen Badger. The application was complete and internally consistent. The need for such a program was clearly articulated. In fact, the demand is ahead of the educational programming in that a significant grant has been provided and that UK Healthcare is already utilizing services of the faculty and students. There is a national accrediting body for the development of professionals in this field. The standards were provided by the sponsor. It appears the proposal closely mirrors the requirements of the accrediting body. The committee was comfortable with the proposal in current form and had no questions for the sponsor.

The committee determined that the proposal was acceptable for a new Master's of Music in Music Therapy.

**A motion was made to approve the Masters' of Music in Music Therapy. The motion was seconded and all members present voted in the affirmative – the motion carried. SAPC makes a positive recommendation to Senate Council to approve a Master's of Music in Music Therapy.**

## REQUEST TO CLASSIFY PROPOSED PROGRAM

### Section I (REQUIRED)

1. The proposed new degree program will be (please check one):  
 Undergraduate\*    Masters\*    Doctoral\*    Professional
2. Have you contacted the Associate Provost for Academic Administration (APAA)?  
 YES  Date of contact: 11/23/2010  
 NO  (Contact the APAA prior to filling out the remainder of this form.)
3. Degree Title: Master's of Music in Music Therapy
4. Major Title: Music Therapy
5. Option: Master's Degree (Thesis Track or Clinical Project Track)
6. Primary College: College of Fine Arts
7. Primary Department: School of Music
8. CIP Code (supplied by APAA) 51.2305
9. Accrediting Agency (if applicable): National Association of Schools of Music
10. Who should be contacted for further information about the proposed new degree program:  
 Name: Lori Gooding      Email: lori.gooding@uky.edu      Phone: 323-2905
11. Has the APAA determined that the proposed new degree program is outside UK's band?  
 YES (Continue with the Section II\* on a separate sheet.)  
 NO (This form is complete. Print PAGE ONE & submit with appropriate form for new program.)

### Section II (Attach separate pages.)

I. Submit a one- to two- page abstract narrative of the program proposal summarizing: how this program will prepare Kentuckians for life and work; any plans for collaboration with other institutions; and any plans for participation in the Kentucky Virtual University.

II. Provide a comprehensive program description and complete curriculum. For undergraduate programs include: courses/hours; college-required courses; University Studies Program; pre-major courses; major courses; option courses; electives; any other requirement. Include how program will be evaluated and how student success will be measured. Evaluative items may include, but are not limited to retention in the major from semester to semester; success rate of completion for core courses; and academic performance in suggested program electives.

III. Explain resources (finances, facilities, faculty, etc.) that are needed and available for program implementation and support.

After filling out this form, you must also submit a form for New Undergraduate Program, New Master's Program, or New Doctoral Program. There is no form for new professional programs.

**NEW MASTERS DEGREE PROGRAM FORM**  
 (Attach completed "Application to Classify Proposed Program"<sup>1</sup>)

**GENERAL INFORMATION**

College:	College of Fine Arts	Department:	Music
Major Name:	Music Therapy	Degree Title:	Master's of Music In Music Therapy
Formal Option(s):	Option A: Master's Degree Thesis Track Option B: Master's Degree Clinical Track (non-thesis)	Specialty Fields w/in Formal Option:	
Date of Contact with Associate Provost for Academic Administration <sup>1</sup> :	11/23/2010		
Bulletin (yr & pgs):	CIP Code <sup>2</sup> :	51.2305	Today's Date:
National Association of Schools of Music (NASM)			
Requested Effective Date:	<input type="checkbox"/> Semester following approval.		OR <input checked="" type="checkbox"/> Specific Date <sup>2</sup> :
Dept. Contact Person:	Lori Gooding	Phone:	323-2905
		Email:	lori.gooding@uky.edu

**CHANGE(S) IN PROGRAM REQUIREMENTS**

- Number of transfer credits allowed **9**  
(Maximum is Graduate School limit of 9 hours or 25% of course work)
- Residence requirement (if applicable) **N/A**
- Language(s) and/or skill(s) required  
Students are required to demonstrate written and spoken english proficiency as well as proficiency in guitar, voice and piano skills. Please see the attached admission requirements for more information on the proficiency requirements.
- Termination criteria  
Students entering with a bachelor's degree in music therapy will be terminated for insufficient GPA (more than one course below a 3.0) and instances of academic dishonesty or instances that violate the code of ethics established by the music therapy profession.  
  
Students in preparatory tracks (see #s 5 and 6 for more info) will be conditionally admitted to the master's program. Students must maintain a 3.0 GPA during the first two semesters in order to continue in the program under conditional admittance. After successful completion of all equivalency coursework, students will be admitted fully into the graduate program.  
  
Students must also demonstrate proficiency upon completion of all preparatory ("equivalency") coursework. Should any student fail to demonstrate proficiency in any of the preparatory coursework, then he or she would be dismissed from the program. Proficiency is defined as a minimum grade of 3.0 in all prerequisite coursework and successful completion of any related

<sup>1</sup> Prior to filling out this form, you **MUST** contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the APAA can provide you with that during the contact.

<sup>2</sup> Programs are typically made effective for the semester following approval. No changes will be made effective until all approvals are received.

**NEW MASTERS DEGREE PROGRAM FORM**

proficiency exams. A list of preparatory/prerequisite coursework can be found in the attached curricular table entitled "Curricular Table: Music Therapy Coursework."

Note: In the field of music therapy, preparatory/prerequisite tracks for individuals without undergraduate degrees in music therapy are referred to as "equivalency" programs. These courses allow individuals to obtain entry level competencies normally acquired at the bachelor's level so that they may pursue a master's degree in music therapy. This type of "combined equivalency/master's program" is commonly offered at other institutions. Institutions that offer this type of program include but are not limited to: Florida State University, University of Kansas, East Carolina University, Appalachian State University and University of Missouri Kansas City.

5. **Plan A Degree Plan requirements<sup>3</sup> (thesis)**

30 credits, including 12 credits in music therapy, 9 credits in music (6 of which must be thesis credits) and 9 credits in electives.

Within the thesis option, there will be two separate tracks; Track 1, the plan of study for those with a bachelor's degree in music therapy, will include the credits listed above. Please see the attached curricular table for course options.

Track 2, the preparatory track, will be for those individuals without a bachelor's degree in music therapy. Individuals with non-music therapy undergraduate degrees will be required to complete any prerequisite coursework not completed at the undergraduate level. Please see the attached curricular table for the Music Therapy Equivalency Coursework for the equivalency requirements. (Note: Students may have partially completed the equivalency/prerequisite requirements prior to attending UK and would therefore only be required to complete coursework necessary to resolve any deficits in required prerequisites. Any graduate coursework taken to fulfill prerequisite/equivalency requirements will not count toward the 30 credits needed to obtain the master's degree.)

In addition to completing all necessary prerequisites, individuals in Track 2 would also be required to complete the coursework for the master's degree outlined in Track 1.

6. **Plan B Degree Plan requirements<sup>3</sup> (non-thesis)**

Non-thesis Master's degree: 30 credits, including 12 credits in music therapy, 9 credits in music and 9 credits in electives.

Within the non-thesis (clinical track) option, there will be two separate tracks; Track 1, the plan of study for those with a bachelor's degree in music therapy, will include the credits listed above. Please see the attached curricular table for course options.

<sup>3</sup> If there is only one plan for the degree, plans involving a thesis (or the equivalent in studio work, etc.) should be discussed under Plan A and those not involving a thesis should be discussed under Plan B.

### NEW MASTERS DEGREE PROGRAM FORM

Track 2, the preparatory track, will be for those individuals without a bachelor's degree in music therapy. Individuals with non-music therapy undergraduate degrees will be required to complete any prerequisite coursework not completed at the undergraduate level. Please see the attached curricular table for the Music Therapy Equivalency Coursework for the equivalency requirements. (Note: Students may have partially completed the equivalency/prerequisite requirements prior to attending UK and would therefore only be required to complete coursework necessary to resolve any deficits in required prerequisites. Any graduate coursework taken to fulfill prerequisite/equivalency requirements will not count toward the 30 credits needed to obtain the master's degree.)

In addition to completing all necessary prerequisites, individuals in Track 2 would also be required to complete the coursework for the master's degree outlined in Track 1.

7. Distribution of course levels required

One-half of all credits must be at the 600+ level. For both Plan A, 12 of these credits will be from music therapy coursework and 3 will be from other studies in music. Additional credits at the 600+ level may be taken in the elective area as well.

For Plan B, 12 credits at the 600+ level will be in music therapy coursework. However, due to the fact that practica do not count toward the 600+ requirements, only 9 of the 12 music therapy credits will count toward this requirement. As a result, students in Plan B will be required to take an additional 6 credits at 600+ level from the areas of "other studies in music" and "electives." Please see section 9 for the course distribution requirements.

Coursework within the core music therapy portion of the master's program will be taught by Lori Gooding, PhD, MT-BC, NICU-MT, David Sogin, PhD and Cecilia Wang, PhD. Qualified graduate faculty will also teach courses in the areas of "other studies in music" and "electives." These faculty are not listed due to the individualized nature of the degree format. As is the case with the prerequisite/equivalency coursework, this individualized format is consistent with programs offered at other institutions (e.g., Florida State, UMKC, etc.). Additionally, the format meets the requirements set forth by NASM, the accrediting body for music programs and AMTA, the approval body for music therapy programs.

(At least one-half must be at 600+ level & two-thirds must be in organized courses.)

8. Required courses (if applicable)

Students will be required to take 30 graduate credits to obtain the Master's of Music in Music Therapy. Twelve credits will be selected in consultation with the advisor from music therapy coursework, nine from other studies in music and nine from elective coursework. In accordance with graduate school policies, at least one-half of those courses must be at the 600 level or higher, excluding thesis and practica.

Students are required to take MUS 633 (Graduate Clinical



**NEW MASTERS DEGREE PROGRAM FORM**

Placement) If pursuing the clinical placement option or MUS 648 (Thesis) and MUS 600 if pursuing the thesis option.

Students completing the preparatory/prerequisite coursework in the "Equivalency" tracks will be required to complete any coursework necessary to eliminate deficiencies in preparatory or prerequisite coursework. As stated previously, the equivalency requirements are outlined in the attached curricular table.

Any graduate courses taken to obtain entry-level competencies as part of the equivalency track will not be counted toward the 30 hours of credit needed for the Master's degree. These courses serve as preparatory/ prerequisite courses and must be completed in order to acquire all entry-level competencies necessary to sit for the music therapy board certification exam. Students are required to take an additional 30 graduate hours beyond any equivalency coursework to obtain a Master's of Music in Music Therapy.

9. Required distribution of courses within program (if applicable) Course distribution is as follows: 40% music therapy (12 credits), 30% (9 credits) other studies in music and 30% (9 credits) in elective credits.

10. Final examination requirements In accordance with Graduate Faculty rules, students must successfully complete a thesis or clinical project and a final oral examination.

11. Explain whether the proposed new program (as described in numbers 1 through 10) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).

The Music Therapy degree requires nine hours of electives chosen individually by each student. While there are no specific course requirements in terms of electives, students will select appropriate courses from areas such as psychology, social work, etc. in consultation with their advisor. Students would be required to follow any policies listed within the course bulletin for the courses selected (e.g. permission of instructor, etc.), but the individualized nature does not necessitate formal permission from any specific instructor or department.

The equivalency program (i.e., preparatory/prerequisite program) also involves outside courses, but these courses would be required on an as-needed basis only. The involved courses would be selected from the following based on individual student needs: PSY 100, PSY 223, PSY 533, ANA 109 and EDP 605. Permission has been granted from the departments in which the courses are taught; however, only one course (ANA 109) requires signature approval. All other courses are open to non-majors given that all prerequisites have been met and therefore do not need signature approval.

12. What is the rationale for the proposed new program?

As part of the Arts in Healthcare initiative, a partnership between the UK Healthcare system and the School of Music was established, the purpose of which was to provide academic opportunities in the form of a graduate music therapy program and clinical services for patients in the UK Healthcare system. To facilitate the program, the Director of Music Therapy position was created and endowed through a \$3 million grant. Patient care services were established in the fall of 2010, and we are now seeking approval for the graduate program.

The decision to establish a graduate program is based on several factors: a) a Master's of Music in Music Therapy

**NEW MASTERS DEGREE PROGRAM FORM**

requires adding a new program to the existing master's of music degree but does not require the creation of a new degree, b) there is no graduate program in music therapy in the state of Kentucky, c) the region is underserved in terms of music therapy services and academic opportunities, and d) there is support for the program within the UK Healthcare system.

**NEW MASTERS DEGREE PROGRAM FORM**

Signature Routing Log

General Information:

Program Name: Music Therapy

Proposal Contact Person Name: Lori Gooding

Phone: 323-2905

Email: lori.gooding@uky.edu

**INSTRUCTIONS:**

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Nursing	8/31/10	Patricia Burkhart / 323-6253 / pvburk2@email.uky.edu	<i>[Signature]</i>
MUSFC	10/31/10	PA AARNOLD 12577 311. AARNOLD 4900 @uky.edu	<i>[Signature]</i>
College of Fine Arts	1/7/11	Michael T. (1707) michael.tickle@uky.edu	<i>[Signature]</i>
		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision <sup>4</sup>
Undergraduate Council			
Graduate Council		<i>[Signature]</i> 2011.02.11 09:18:56 -05'00'	
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

<sup>4</sup> Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.  
Rev 8/09

### Curricular Table: M.M. Music Therapy-Thesis Track

University: University of Kentucky  
 Number of Years to Complete: 2

College: Fine Arts (School of Music)  
 Degree Submitted for: Approval

Major Area	Other Studies in Music	Electives	Total Credits
12 credits	9 credits	9 credits	30
40%	30%	30%	

**Major Area**—A Minimum of 12 credits required from the following coursework:

Area	Prefix Number	Title		Grad Credits
	MUS 630	Medical Music Therapy	↑	3
	MUS 631	Music in Counseling	↑	3
	MUS 732	Seminar: Topics in Music Therapy	Choose any 9 credits	3
	MUS 730	Independent Work in Music Therapy	↓	1-3
	MUS 633	Graduate Clinical Placement	Required (3)	1-3
	MUS 664	Music for Special Learners		3
			Total Credits (12 min.)	12 or _____

**Other studies in Music**—A Minimum of 9 credits required from the following coursework:

Area	Prefix Number	Title		Grad Credits
	MUS 561 020	Orff Certification Level I		3
	MUS 600	Research I	Required	3
	MUS 648	Thesis	Required (6)	6
		Thesis Defense	Required	0
			Total Credits (9 min.)	9 or _____

**Electives**—A Minimum of 9 credits required from related coursework (psychology, counseling, etc.)

Area	Prefix Number	Title		Grad Credits
			Total Credits (9 min.)	

Note: At least one-half of all coursework (excluding thesis and practica/clinical placement) must be at the 600 level or higher.

### Curricular Table: M.M. Music Therapy-Clinical Research Project Track (Non-Thesis)

University: University of Kentucky  
 Number of Years to Complete: 2

College: Fine Arts (School of Music)  
 Degree Submitted for: Approval

Major Area	Other Studies in Music	Electives	Total Credits
12 credits 40%	9 credits 30%	9 credits 30%	30

**Major Area**— A Minimum of 12 credits required from the following coursework:

Area	Prefix Number	Title		Grad Credits
	MUS 630	Medical Music Therapy	↑	3
	MUS 631	Music in Counseling	↑	3
	MUS 732	Seminar: Topics in Music Therapy	Choose any 6 credits	3
	MUS 730	Independent Work in Music Therapy	↓	1-3
	MUS 664	Music for Special Learners		3
	MUS 633	Graduate Clinical Placement	Required (6)	6
			Total Credits (12 min.)	12 or _____

**Other studies in Music**— A Minimum of 9 credits required from the following coursework:

Area	Prefix Number	Title		Grad Credits
	MUS 561 020	Orff Certification: Level I	↑	3
	MUS 561 021	Orff Certification: Level II	↑	3
	MUS 561 022	Orff Certification: Level III	↑	3
	MUS 540	App of Music Technology	Choose any 9 credits	3
	MUS 600	Research I	↓	3
	MUS	Other MUS courses as appropriate		1-3
			Total Credits (9 min.)	9 or _____

**Electives**—A Minimum of 9 credits required from related coursework (psychology, counseling, etc.)

Area	Prefix Number	Title		Grad Credits
			Total Credits (9 min.)	9 or _____

Note: At least one-half of all coursework (excluding practica/clinical placement) must be at the 600 level or higher.

### Curricular Table: Music Therapy Equivalency Coursework

*Note:* The information provided below relates specifically to the equivalency portion of the Combined Equivalency/Master's program. In addition to the requirements outlined below, students would need to complete the Master's degree requirements in order to finalize the Master's degree. The Master's degree requirements for both the thesis and clinical tracks are outlined in separate curricular tables.

University: University of Kentucky

College: Fine Arts (School of Music)

Number of Years to Complete: Min. 3 sem. plus internship

Degree Submitted for: Approval

Students completing the Equivalency option must obtain the following credits:

- The required Music courses for the Equivalency Program include a minimum of 53 semester hours in general music (theory, history, etc.). These credits must be completed as part of the equivalency if not completed in the Bachelor's degree. A detailed list of required courses is provided under "Music Courses." Courses from the undergraduate degree that cover the same music foundations may be substituted with appropriate documentation.
- Course work in percussion/drumming techniques and improvisation/movement are required.
- Proficiency is required in voice, piano and guitar. If proficiency is not met upon entering, courses in these areas are required to meet proficiency. Proficiency courses in these areas are required in addition to the 53 semester hours in music.
- A minimum of eighteen credits in Music Therapy Courses, including internship credits.
- Eighteen credits in Clinical Foundations courses including general psychology (3), abnormal psychology (3), Anatomy and Physiology (3), Exceptionality (3), Human Development (3), and Principles of Therapy/Therapeutic Relationships (3). Course substitutions may be allowed with appropriate documentation given that the courses address appropriate competencies in the areas of clinical foundations.

#### Therapy Core

Area	Prefix Number	Title	Substitute	Credits
Music Therapy	MUS 430G	Music Therapy Foundations and Principles I		3
Music Therapy	MUS 431G	Music Therapy Foundations and Principles II		3
Music Therapy	MUS 432G	Music Therapy Applications		3
Music Therapy	MUS 706	Music Learning and Behavior		3
Music Therapy	MUS 770	Psychology of Music		3
Music Therapy	MUS 433G	Music Therapy Clinical Internship		Variable; Min. 3
			Total Credits	18 (minimum)

**\*Courses marked with an asterisk are required only if proficiency is not met. If all these courses are taken, the total number of music credits would be 60 and not 54 credits. Proficiency must be demonstrated in one of the following ways: (a) proficiency documentation from an accredited undergraduate institution, (b) successful completion of music foundations coursework and related proficiency requirements at UK or (c) successful completion of UK proficiency exams.**

**Clinical Foundations Courses (Health/Behavioral/Natural Sciences)—Required if not completed in Bachelor's**

Area	Prefix Number	Title	Substitute	Credits
Clinical Foundations	PSY 100	Introduction to Psychology		4
Clinical Foundations	PSY 223	Developmental Psychology		3
Clinical Foundations	PSY 533	Abnormal Psychology		3
Clinical Foundations	ANA 109	Anatomy and Physiology for Nursing I		3
Clinical Foundations	EDP 605	Introduction to Counseling Techniques: I		3
Electives				2
			Total Credits	18

**Music Courses—Required if not completed in Bachelor's.** A minimum of 53 credits must be taken covering the following areas: theory, history, arranging, major performance medium, improvisation/movement, conducting and percussion. Additionally, courses in guitar, piano and voice must be taken if proficiency is not demonstrated.

Area	Prefix Number	Title	Substitute	Credits
Music Foundations	MUS 170, 171, 172, 173, 270, 271, 272, 273, 370	Written Theory I and II; Aural Theory I and II; Theory III—Advanced Harmony and Counterpoint		18
Music Foundations	MUS 203, 302, 303	Music History		9
Music Foundations	MUP	Major Performance Medium		12
Music Foundations	MUC	Ensembles		6
Music Foundations	MUS 371	Instrumentation and Arranging		3
Music Foundations	MUS 560 or 561	Orff Schulwerk or Orff Certification Level I		2
Music Foundations	MUS 358	Conducting		2
Music Foundations	MUC 157	Percussion		1
Music Foundations	MUC 150*, 151*, 152*, 153*	Class Instruction in Piano		4
Music Foundations	MUC 101 002*	Beginning Guitar		1
Music Foundations	MUC 101 003*	Intermediate Guitar		1
Music Foundations	MUP* or MUC*	Class Voice or Private Voice Instruction		
			Total Credits	53

## AMTA Advanced Competencies

### Preamble

The American Music Therapy Association has established competency-based standards for ensuring the quality of education and clinical training in the field of music therapy. As the clinical and research activities of music therapy provide new information, the competency requirements need to be reevaluated regularly to ensure consistency with current trends and needs of the profession and to reflect the growth of the knowledge base of the profession. The Association updates these competencies based on what knowledge, skills, and abilities are needed to perform the various levels and types of responsibilities to practice at both a professional level and an advanced level.

In November 2005 the AMTA Assembly of Delegates adopted the *Advisory on Levels of Practice in Music Therapy*. The Advisory, which was developed by the Education and Training Advisory Board, distinguishes two Levels of Practice within the music therapy profession:

**Professional Level of Practice:** based on the AMTA *Professional Competencies* acquired with a baccalaureate degree in music therapy or its equivalent, which leads to entrance into the profession and Board Certification in Music Therapy.

**Advanced Level of Practice:** based on the AMTA *Advanced Competencies*, which is defined as the practice of music therapy wherein the music therapist applies and integrates a comprehensive synthesis of theories, research, treatment knowledge, musicianship, clinical skills, and personal awareness to address client needs. A music therapist at an Advanced Level of Practice has at least a bachelor's degree or its equivalent in music therapy, a current professional designation or credential in music therapy (i.e., ACMT, CMT, MT-BC, or RMT), professional experience, and further education and/or training (e.g., receiving clinical supervision, a graduate degree, and/or advanced training). It is anticipated that in the future music therapists at the Advanced Level of Practice will hold at least a master's degree in music therapy that includes advanced clinical education. The advanced music therapist demonstrates comprehensive understanding of foundations and principles of music, music therapy, treatment, and management in clinical, educational, research, and/or administrative settings.

Following the adoption of the *Advisory on Levels of Practice in Music Therapy*, AMTA appointed a Task Force on Advanced Competencies, which was charged with developing competencies for the Advanced Level of Practice as outlined in the Advisory. The Advisory describes four domains for the Advanced Level of Practice: Professional Growth, Musical Development, Personal Growth and Development, and Integrative Clinical Experience. The general headings and subheadings of the proposed Advanced Competencies have been reorganized to provide a better understanding of the context of these competencies, not only within the music therapy profession, but also beyond it for other constituencies. It is acknowledged that the advanced music therapist may not demonstrate competence in each of the areas of the *Advanced Competencies*, but would instead demonstrate acquisition of the majority of these competencies, with most, if not all, in the area(s) of his/her practice (e.g., clinical, supervisory, academic, research).

The *Advanced Competencies* provide guidelines for academia, both in regards to qualifications for university/college faculty and in setting standards for master's degree programs in music therapy. The AMTA Standards for Education and Clinical Training specify standards for academic faculty employed full-time at a college or university with primary responsibilities for teaching music therapy and/or directing a music therapy program at the undergraduate or graduate level. Such qualifications for faculty require a music therapist practicing at an Advanced Level of Practice. The AMTA Standards for Master's Degrees state that "the purpose of the master's



degree programs in music therapy is to impart advanced competencies, as specified in the AMTA *Advanced Competencies*. These degree programs provide breadth and depth beyond the AMTA *Professional Competencies* required for entrance into the music therapy profession.” The *Advanced Competencies* will also serve to guide the development of standards for the doctoral degree in music therapy, which shall focus on advanced competence in research, theory development, clinical practice, supervision, college teaching, and/or clinical administration.

The *Advanced Competencies* also provide guidelines for the Advanced Level of Practice in clinical, supervisory, administrative and research settings, as well as in government relations work dealing with such issues as state licensures and employment practices. Music therapists with master’s degrees and other professional requirements are being granted state licensures in the creative arts therapies (music therapy) and related disciplines in some states.

The initial version of the *Advanced Competencies* was adopted by the AMTA Assembly of Delegates in 2007 and was viewed as a work in progress. Following feedback from a number of sources, including the National Association of Schools of Music (NASM), a revised version is being submitted in 2009 for AMTA approval.

In conclusion, the *Advanced Competencies* serve as a vision for the further growth and development of the profession in issues related to advanced education and training, and more specifically, the relationship of these competencies to advanced degrees, education and training requirements, levels of practice, professional titles and designations, and various state licensures, based on current and future trends.

## **AMTA Advanced Competencies**

### **I. PROFESSIONAL PRACTICE**

#### **A. Theory**

- 1.1 Apply comprehensive knowledge of the foundations and principles of music therapy practice.
- 1.2 Synthesize comprehensive knowledge of current theories and deduce their implications for music therapy practice and/or research.
- 1.3 Differentiate the theoretical or treatment orientations of current models of music therapy.
- 1.4 Identify theoretical constructs underlying various clinical practices and research approaches.
- 1.5 Understand emerging models and trends in music therapy.
- 1.6 Apply current literature in music therapy and related fields relevant to one’s area(s) of expertise.

#### **B. Clinical Practice**

##### **2.0 Clinical Supervision**

- 2.1 Establish and maintain effective supervisory relationships.

2.2 Promote the professional growth, self-awareness, and musical development of the supervisee.

2.3 Apply theories of supervision and research findings to music therapy supervision.

2.4 Design and implement methods of observing and evaluating supervisees that have positive effects on music therapy students and professionals at various levels of advancement and at different stages in the supervisory process.

2.5 Analyze the supervisee's music therapy sessions in terms of both the effects of specific musical, verbal, and nonverbal interventions and the musical and interpersonal dynamics and processes of the client(s)-therapist relationship.

2.6 Use music to facilitate the supervisory process.

2.7 Apply knowledge of norms and practices of other cultures to the supervisory process.

2.8 Evaluate the effectiveness of various approaches and techniques of supervision.

2.9 Evaluate the effects of one's own personality, supervisory style, and limitations on the supervisee and the supervisory process and seek consultation when appropriate.

### **3.0 Clinical Administration**

3.1 Adhere to laws and occupational regulations governing the provision of education and health services, particularly with regard to music therapy.

3.2 Adhere to accreditation requirements for clinical agencies, particularly with regard to music therapy.

3.3 Employ music therapy reimbursement and financing options.

3.4 Develop effective staffing patterns for the provision of music therapy services.

3.5 Develop effective recruiting and interviewing strategies for student and professional applicants.

3.6 Develop policies and procedures for staff evaluation and supervision.

3.7 Utilize management strategies to establish and maintain effective relationships and a high level of motivation among staff.

3.8 Integrate music therapy staff and programs into the agency's service delivery systems.

3.9 Design methods for evaluating music therapy programs and service delivery.

### **4.0 Advanced Clinical Skills**

4.1 Apply comprehensive knowledge of current methods of music therapy assessment, treatment, and evaluation.

- 4.2 Utilize comprehensive knowledge of human growth and development, musical development, diagnostic classifications, etiology, symptomatology, and prognosis in formulating treatment plans.
- 4.3 Understand the contraindications of music therapy for client populations served.
- 4.4 Understand the dynamics and processes of therapy from a variety of theoretical perspectives.
- 4.5 Utilize the dynamics and processes of various theoretical models in individual, dyadic, family, and group music therapy.
- 4.6 Design or adapt assessment and evaluation procedures for various client populations.
- 4.7 Utilize advanced music therapy methods (e.g., listening, improvising, performing, composing) within one or more theoretical frameworks to assess and evaluate clients' strengths, needs, and progress.
- 4.8 Design treatment programs for emerging client populations.
- 4.9 Employ one or more models of music therapy requiring advanced training.
- 4.10 Utilize advanced verbal and nonverbal interpersonal skills within a music therapy context.
- 4.11 Assume the responsibilities of a primary therapist.
- 4.12 Relate clinical phenomena in music therapy to the broader treatment context.
- 4.13 Respond to the dynamics of musical and interpersonal relationships that emerge at different stages in the therapy process.
- 4.14 Fulfill the clinical roles and responsibilities of a music therapist within a total treatment milieu and in private practice.
- 4.15 Apply advanced skills in co-facilitating treatment with professionals from other disciplines.
- 4.16 Demonstrate comprehensive knowledge of client rights.
- 4.17 Understand the differential uses of the creative arts therapies and the roles of art, dance/movement, drama, psychodrama, and poetry therapy in relation to music therapy.
- 4.18 Apply creative processes within music therapy.
- 4.19 Employ imagery and ritual in music therapy.
- 4.20 Understand and respond to potential physical and psychological risks to client health and safety.

### **C. College/University Teaching**

- 5.1 Design academic curricula, courses, and clinical training programs in music therapy consistent with current theories, research, competencies, and standards, including those for national accreditation and program approval.

- 5.2 Utilize current educational resources in music therapy (e.g., equipment, audio-visual aids, materials, technology).
- 5.3 Draw from a breadth and depth of knowledge of clinical practice in teaching music therapy.
- 5.4 Establish and maintain effective student-teacher relationships.
- 5.5 Communicate with other faculty, departments, and administration regarding the music therapy program and its educational philosophy.
- 5.6 Develop standards and procedures for admission and retention that support educational objectives consistent with the policies of the institution.
- 5.7 Utilize various methods of teaching (e.g., lecture, demonstration, role-playing, group discussion, collaborative learning).
- 5.8 Supervise and mentor students in clinical training, supervision, teaching, and research.
- 5.9 Advise and counsel students with regard to academic and professional matters.
- 5.10 Design and apply means of evaluating student competence, both internal (e.g., proficiency exams) and external (e.g., evaluations from clinical training supervisors).
- 5.11 Utilize internal, external, and self-evaluations to monitor the effectiveness of academic courses and programs in meeting educational objectives.

#### **D. Research**

- 6.1 Perform comprehensive literature searches using various indices to identify gaps in knowledge.
- 6.2 Translate theories, issues, and problems in clinical practice, supervision, administration, and higher education into meaningful research hypotheses or guiding questions.
- 6.3 Apply quantitative and qualitative research designs according to their indicated uses.
- 6.4 Conduct advanced research using one or more research approaches (e.g., historical, philosophical, qualitative, quantitative.)
- 6.5 Acknowledge one's biases and personal limitations related to research.
- 6.6 Write grant proposals for funding research.
- 6.7 Conduct research according to ethical principles for protection of human participants, including informed consent, assessment of risk and benefit, and participant selection.
- 6.8 Collect and analyze data using appropriate procedures to avoid or minimize potential confounds.
- 6.9 Collaborate with others in conducting research.
- 6.10 Use various methods of data analysis.

6.11 Interpret and disseminate research results consistent with established standards of inquiry.

6.12 Evaluate scholarly and student research regarding research questions or problems, methods, procedures, data collection, analysis, and conclusions.

## **II. PROFESSIONAL DEVELOPMENT**

### **A. Musical and Artistic Development**

7.1 Reproduce, notate, and transcribe musical responses of clients.

7.2 Compose music, including songs, in various styles to meet specific therapeutic objectives.

7.3 Provide spontaneous musical support for client improvisation.

7.4 Improvise in a variety of musical styles.

7.5 Utilize a wide variety of improvisatory techniques for therapeutic purposes.

7.6 Design music listening programs for therapeutic purposes.

7.7 Use different methods of musical analysis for client assessment and evaluation.

7.8 Adapt and select musical material for different musical cultures and sub-cultures.

7.9 Apply advanced skills in the clinical use of at least two of the following: keyboard, voice, guitar and/or percussion.

7.10 Utilize extensive and varied repertoire of popular, folk, and traditional songs.

### **B. Personal Development and Professional Role**

8.1 Utilize self awareness and insight to deepen the client's process in music therapy.

8.2 Identify and address one's personal issues.

8.3 Apply the principles of effective leadership.

8.4 Use personal reflection (e.g., journaling, artistic involvement, meditation, other spiritual pursuits).

8.5 Recognize limitations in competence and seek consultation.

8.6 Practice strategies for self care.

8.7 Selectively modify music therapy approaches based on knowledge of the roles and meanings of music in various cultures.

8.8 Work with culturally diverse populations, applying knowledge of how culture influences issues regarding identity formation, concepts of health and pathology, and understanding of the role of therapy.

8.9 Understand how music therapy is practiced in other cultures.

8.10 Apply current technology to music therapy practice.

8.11 Adhere to the AMTA Code of Ethics and Standards of Clinical Practice using best professional judgment in all areas of professional conduct.

## ENDNOTES

The Task Force gratefully acknowledges the previous work of Kenneth Bruscia (1986) in identifying “Advanced Competencies in Music Therapy.” The ideas Bruscia expressed served as a basis for these competencies.

Members of the Task force on Advanced Competencies were Jane Creagan, Michele Forinash (Chair), Gary Johnson, Cathy McKinney, Christine Neugebauer, Paul Nolan, Marilyn Sandness, and Elizabeth Schwartz.

## REFERENCE

Bruscia, K. (1986). Advanced competencies in music therapy. *Music Therapy*, 6A, 57-67.

## GLOSSARY

advanced level of practice - the practice of music therapy wherein the therapist, applying the integration of in-depth theories, research, treatment knowledge, musicianship, clinical skills, and personal awareness, assumes a central role using process-oriented or outcome-oriented music therapy methods to address a broad spectrum of client needs.

*advanced training* - learning of a comprehensive approach to, or model of, music therapy intended for broad and in-depth clinical application. The training occurs over an extended period of time; includes both didactic instruction and extensive, supervised clinical application; and results in the acquisition of a number of advanced competencies. Advanced training typically requires the master's degree as a prerequisite or co-requisite of the training program. Examples include, but are not limited to, Analytic Music Therapy, Bonny Method of Guided Imagery and Music, Nordoff Robbins Music Therapy.

*construct* - a working hypothesis or concept.<sup>1</sup>

*dynamics* - forces that interplay in the mind as a manifestation of purposeful intentions working concurrently or in mutual opposition. These forces can include the patterns of actions and reactions within the music, therapist and client triangle, as well as within groups.<sup>2</sup>

*knowledge* - facts or ideas acquired by study, investigation, observation, or experience.<sup>4</sup>



## Code of Professional Practice

### PREAMBLE

The CBMT is a nonprofit organization which provides board certification and recertification for music therapists. The members of the Board of Directors comprise a diverse group of experts in music therapy. The Board is national in scope and blends both academicians and clinicians for the purpose of establishing rigorous standards which have a basis in a real world practice, and enforcing those standards for the protection of consumers of music therapy services and the public.

The CBMT recognizes that music therapy is not best delivered by any one sub-specialty, or single approach. For this reason, the CBMT represents a comprehensive focus. Certification is offered to therapists from a wide variety of practice areas, who meet high standards to the Practice of Music Therapy. To the extent that standards are rigorously adhered to, it is the aim of the CBMT to be inclusive, and not to be restrictive to any sub-specialty.

Maintenance of board certification will require adherence to the CBMT's Code of Professional Practice. Individuals who fail to meet these requirements may have their certification suspended or revoked. The CBMT does not guarantee the job performance of any individual.

### I. ELIGIBILITY FOR CERTIFICATION OR RECERTIFICATION

As a condition of eligibility for and continued maintenance of any CBMT certification, each candidate or certificant agrees to the following:

#### A. Compliance with CBMT Standards, Policies and Procedures

No individual is eligible to apply for or maintain certification unless in compliance with all the CBMT standards, policies and procedures. Each individual bears the burden for showing and maintaining compliance at all times. The CBMT may deny, revoke, or otherwise act upon certification or recertification when an individual is not in compliance with all the CBMT standards, policies, and procedures. Nothing provided herein shall preclude administrative requests by the CBMT for additional information to supplement or complete any application for certification or recertification.

#### B. Complete Application

The individual shall truthfully complete and sign an application in the form provided by the CBMT, shall provide the required fees and shall provide additional information as requested. The individual shall notify the CBMT within sixty (60) days of occurrence of any change in name, address, telephone number, and any other facts bearing on eligibility or certification (including but not limited to: filing of any criminal charge, indictment, or litigation; conviction; plea of guilty; plea of nolo contendere; or disciplinary action by a

licensing board or professional organization). A candidate or certificant shall not make and shall correct immediately any statement concerning the candidate's or certificant's status which is or becomes inaccurate, untrue, or misleading.

All references to "days" in the CBMT standards, policies and procedures shall mean calendar days. Communications required by the CBMT must be transmitted by certified mail, return receipt requested, or other verifiable methods of delivery when specified. The candidate or certificant agrees to provide the CBMT with confirmation of compliance with the CBMT requirements as requested by the CBMT.

#### C. Property of the CBMT

The examinations and certificates of the CBMT, the name Certification Board for Music Therapists, and abbreviations relating thereto are all the exclusive property of the CBMT and may not be used in any way without the express prior written consent of the CBMT. In case of suspension, limitation, revocation, or resignation from the CBMT or as otherwise requested by the CBMT, the individual shall immediately relinquish, refrain from using, and correct at the individual's expense any outdated or otherwise inaccurate use of any certificate, logo, emblem, and the CBMT name and related abbreviations. If the individual refuses to relinquish immediately, refrain from using and correct at his or her expense any misuse or misleading use of any of the above items when requested, the individual agrees that the CBMT shall be entitled to obtain all relief permitted by law.

#### D. Criminal Convictions

An individual convicted of a felony directly related to music therapy and/or public health and safety shall be ineligible to apply for certification or recertification for a period of seven (7) years from the exhaustion of appeals or final release from confinement (if any), whichever is later. Convictions include but are not limited to felonies involving rape, sexual, physical, or mental abuse of a patient, client, child, or coworker; actual or threatened use of a weapon; and prohibited sale, distribution, or possession of a controlled substance.

### II. SCORE REPORTS

The CBMT is concerned with reporting only valid scores. On rare occasions, misconduct or circumstances beyond the individual's control may render a score invalid. If doubts are raised about a score because of these or other circumstances, the CBMT expects all individuals to cooperate in any CBMT investigation or any investigation carried out by a CBMT authorized testing service. The CBMT reserves the right to cancel any examination score at any point in time, if, in the sole opinion of CBMT, there is adequate reason to question its validity. CBMT in its discretion will (i) offer the individual an opportunity to take the examination again at no additional fee, or (ii) proceed as described below.

### III. APPLICATION AND CERTIFICATION STANDARDS

In order to protect consumers of music therapy services and the public from harm and to insure the validity of the MT-BC credential for the professional and public good, CBMT may revoke or otherwise take action with regard to the application or certification of a candidate or certificant in the case of:

1. Ineligibility for certification or recertification; if a candidate or certificant has not successfully completed the academic and/or clinical training requirements for music therapy, or their equivalent, as set forth by NAMT, AAMT, or AMTA ; or if a candidate does not qualify for an alternate admission consideration due to lack of or inadequate training, which may or may not include applicants from countries outside of the United States; or if a recertification applicant has not maintained his or her quota of CMTE credits within the five year cycle;
2. Failure to pay fees required by the CBMT;
3. Unauthorized possession of, use of, or access to the CBMT examinations, certificates, and logos of the CBMT, the name "Certification Board for Music Therapists", and abbreviations relating thereto, and any other CBMT documents and materials;
4. Obtaining or attempting to obtain certification or recertification by a false or misleading statement or failure to make a required statement; fraud or deceit in an application, reapplication, representation of event/s, or any other communication to the CBMT;
5. Misrepresentation of the CBMT certification or certification status;
6. Failure to provide any written information required by the CBMT;
7. Habitual use of alcohol or any other drug/substance, or any physical or mental condition which impairs competent and objective professional performance;
8. Failure to maintain confidentiality as required by law;
9. Gross or repeated negligence or malpractice in professional practice, including sexual relationships with clients, and sexual, physical, social, or financial exploitation;
10. Limitation or sanction (including but not limited to revocation or suspension by a regulatory board or professional organization) relating to music therapy practice, public health or safety, or music therapy certification or recertification;
11. The conviction of, plea of guilty or plea of nolo contendere to a felony or misdemeanor related to music therapy practice or health/mental health related issues as listed in the section on criminal convictions in Section II of this document.
12. Failure to timely update information to CBMT; or
13. Other violation of a CBMT standard, policy or procedure as outlined in the CBMT Candidate Handbook, Recertification Manual, or other materials provided to candidates or certificants.

### IV. ESTABLISHMENT OF SPECIAL DISCIPLINARY REVIEW AND DISCIPLINARY HEARING COMMITTEES

A. Upon the recommendation by the Chair, the CBMT Board of

28 Directors may elect by a majority vote (i) a Disciplinary Review Committee and (ii) a Disciplinary Hearing Committee, to consider alleged violations of any CBMT disciplinary standards set forth in Section III.1-14 above or any other CBMT standard, policy, or procedure.

B. Each of these Committees shall be composed of three members drawn from CBMT certificants.

C. A committee member's term of office on the committee shall run for three years and may be renewed.

D. A committee member may serve on only one committee and may not serve on any matter in which his or her impartiality or the presence of actual or apparent conflict of interest might reasonably be questioned.

E. At all times during the CBMT's handling of the matter, the CBMT must exist as an impartial review body. If at any time during the CBMT's review of a matter, any member of the CBMT Disciplinary Review Committee, Disciplinary Hearing Committee, or Board of Directors identifies a situation where his or her judgment may be biased or impartiality may be compromised, (including employment with a competing organization), the member is required to report such matter to the Executive Director immediately. The Executive Director and Board Chairperson shall confer to determine whether a conflict exists, and if so, shall replace the member.

F. Committee action shall be determined by majority vote.

G. When a committee member is unavailable to serve due to resignation, disqualification, or other circumstance, the Chair of CBMT shall designate another individual to serve as an interim member.

### V. REVIEW AND APPEAL PROCEDURES

#### A. Failure to Meet CBMT Deadlines

As a rule, CBMT expects its certificants to meet all deadlines imposed by CBMT, especially in regard to submission of fees, recertification applications, required evidence of continuing education, and sitting for its examinations. On rare occasion, circumstances beyond the control of the certificant or other extraordinary conditions may render it difficult, if not impossible, for the certificant to meet CBMT's deadlines. Should a certificant wish to make appeal of a missed deadline, the certificant should transmit a written explanation and make request for a reasonable extension of the missed deadline, with full relevant supporting documentation, to the CBMT office, to the attention of the CBMT Board of Directors. A certificant shall pay a filing fee when filing such a request. The Board of Directors will determine at the next meeting of the Board, in its sole discretion and on a case-by case basis what, if any recourse, should be afforded to such individuals based on the circumstances described and the overall impact on CBMT. No other procedures shall be afforded to certificants who fail to meet CBMT deadlines.

#### B. Failure to Accrue Sufficient CMTEs

If the CMTEs of a certificant are determined deficient after a certificant has exhausted his or her remedies under CBMT's then-existing reconsideration process, the certificant may proceed to request: (i) review of written submission by the Disciplinary Hearing Committee; (ii) a telephone conference of the Disciplinary Hearing Committee; or (iii) an in-person hearing (held at least annually proximate to the annual meeting of the CBMT).

#### C. Submission of Allegations



1. Allegations of a violation of a CBMT disciplinary standard or other CBMT standard, policy or procedure are to be referred to the Executive Director for disposition. Persons concerned with possible violation of CBMT's rules should identify the persons alleged to be involved and the facts concerning the alleged conduct in as much detail and specificity as possible with available documentation in a written statement addressed to the Executive Director. The statement should identify by name, address and telephone number the person making the information known to the CBMT and others who may have knowledge of the facts and circumstances concerning the alleged conduct. Additional information relating to the content or form of the information may be requested.

2. The Executive Director shall make a determination of the substance of the allegations within sixty (60) days and after consultation with counsel.

3. If the Executive Director determines that the allegations are frivolous or fail to state a violation of CBMT's standards, the Executive Director shall take no further action and so apprise the Board and the complainant (if any).

4. If the Executive Director determines that good cause may exist to deny eligibility or question compliance with CBMT's standards, the Executive Director shall transmit the allegations to the Disciplinary Review Committee.

#### **D. Procedures of the Disciplinary Review Committee**

1. The Disciplinary Review Committee shall investigate the allegations after receipt of the documentation from the Executive Director. If the majority of the Committee determines after such investigation that the allegations and facts are inadequate to sustain a finding of a violation of CBMT disciplinary standards, no further adverse action shall be taken. The Board and the complainant (if any) shall be so apprised.

2. If the Committee finds by majority vote that good cause exists to question whether a violation of a CBMT disciplinary standard has occurred, the Committee shall transmit a statement of allegations to the candidate or certificant by certified mail, return receipt requested, setting forth the applicable standard and a statement:

- a. Of facts constituting the alleged violation of the standard;
- b. That the candidate or certificant may proceed to request: (i) review of written submission by the Disciplinary Hearing Committee; (ii) a telephone conference of the Disciplinary Hearing Committee; or (iii) an in-person hearing (at least held annually proximate to the annual meeting of the CBMT) for the disposition of the allegations, with the candidate or certificant bearing his or her own expenses for such matter;
- c. That the candidate or certificant shall have fifteen (15) days after receipt of such statement to notify the Executive Director if he or she disputes the allegations, has comments on available sanctions, and/or requests a written review, telephone conference hearing, or in-person hearing on the record;
- d. That the candidate or certificant may appear in person with or without the assistance of counsel, may examine and cross-examine any witness under oath, and produce evidence on his or her behalf;
- e. That the truth of allegations or failure to respond may result in sanctions including possible revocation of certification; and

f. That if the candidate or certificant does not dispute the allegations or request a review hearing, the candidate or certificant consents that the Committee may render a decision and apply available sanctions. (Available sanctions are set out in Section VI., below.)

#### **E. Procedures of the Disciplinary Hearing Committee**

1. If the candidate or certificant disputes the allegations or available sanctions or requests a review or hearing, the Disciplinary Review Committee shall:

- a. forward the allegations and response of the candidate or certificant to the Disciplinary Hearing Committee; and
- b. designate one of its members to present the allegations and any substantiating evidence, examine and cross-examine witness(es) and otherwise present the matter during any hearing of the Disciplinary Hearing Committee.

2. The Disciplinary Hearing Committee shall then:

- a. schedule a written review, or telephone, or in-person hearing as directed by the candidate or certificant;
- b. send by certified mail, return receipt requested, a Notice of Hearing to the applicant or MT-BC. The Notice of Hearing shall include a statement of requirements violated and, as determined by the Disciplinary Hearing Committee, the time and place of the review or hearing (as indicated by the individual). The candidate or certificant may request a modification of the date of the hearing for good cause.

3. The Disciplinary Hearing Committee shall maintain a verbatim audio and/or video tape or written transcript of any telephone conference or in-person hearing.

4. The CBMT and the candidate or certificant may consult with and be represented by counsel, make opening statements, present documents and testimony, examine and cross-examine witnesses under oath, make closing statements, and present written briefs as scheduled by a Disciplinary Hearing Committee.

5. The Disciplinary Hearing Committee shall determine all matters relating to the hearing or review. The hearing or review and related matters shall be determined on the record by majority vote.

6. Formal rules of evidence shall not apply. Relevant evidence may be admitted. Disputed questions of admissibility shall be determined by majority vote of the Disciplinary Hearing Committee.

7. Proof shall be by preponderance of the evidence.

8. Whenever mental or physical disability is alleged, the candidate or certificant may be required to undergo a physical or mental examination at the expense of the candidate or certificant. The report of such an examination shall become part of the evidence considered.

9. The Disciplinary Hearing Committee shall issue a written decision following the hearing or review and any briefing. The decision shall contain factual findings, conclusions of law and any sanctions applied. The decision of the Disciplinary Hearing Committee shall be mailed promptly by certified mail, return receipt requested, to the candidate or certificant. If the decision rendered by the Disciplinary Hearing Committee is that the allegations are not supported, no further action on them shall occur.

## F. APPEAL PROCEDURES

1. If the decision rendered by the Disciplinary Hearing Committee is not favorable to the candidate or certificant, the candidate or certificant may appeal the decision to the CBMT Board of Directors by submitting a written appeal statement within thirty (30) days following receipt of the decision of the Disciplinary Hearing Committee. CBMT may file a written response to the statement of the candidate or certificant.

2. The CBMT Board of Directors by majority vote shall render a decision on the appeal without oral hearing, although written briefing may be submitted by the candidate or certificant, and CBMT.

3. The decision of the CBMT Board of Directors shall be rendered in writing following receipt and review of any briefing. The decision shall contain factual findings, conclusions of law and any sanctions applied and shall be final. (Available sanctions are set out in Section VI.1-8, below.) The decision shall be transmitted to the candidate or certificant by certified mail, return receipt requested.

## VI. SANCTIONS

Sanctions for violation of any CBMT standard set forth herein or any other CBMT standard, policy, or procedure may include one or more of:

1. Mandatory remediation through specific education, treatment, and/or supervision;
2. Written reprimand to be maintained in certificant's permanent file;
3. Suspension of board certification with the right to re-apply after a specified date;
4. Denial or suspension of eligibility;
5. Non-renewal of certification;
6. Revocation of certification;
7. Other corrective action.

## VII. THREAT OF IMMEDIATE AND IRREPARABLE HARM

Whenever the Executive Director determines that there is cause to believe that a threat of immediate and irreparable harm to the public exists, the Executive Director shall forward the allegations to the CBMT Board. The Board shall review the matter immediately, and provide telephonic or other expedited notice and review procedure to the candidate or certificant. Following such notice and opportunity by the individual to be heard, if the Board determines that a threat of immediate and irreparable injury to the public exists, certification may be suspended for up to ninety (90) days pending a full review as provided herein.

## VIII. RELEASE OF INFORMATION

The individual candidate or certificant agrees that CBMT and its officers, directors, committee members, employees, agents, and others may communicate any and all information relating to the alleged individual's application or certification and review thereof including but not limited to pendency or outcome of disciplinary proceedings to state and federal authorities, licensing boards, employers, other certificants, and others.

## 30 IX. WAIVER

The candidate/certificant releases, discharges and exonerates CBMT, its officers, directors, employees, committee members and agents, and any other persons for any action taken pursuant to the standards, policies, and procedures of the CBMT from any and all liability, including but not limited to liability arising out of (i) the furnishing or inspection of documents, records and other information and (ii) any investigation and review of application or certification made by the CBMT.

## X. RECONSIDERATION OF ELIGIBILITY AND REINSTATEMENT OF CERTIFICATION

If eligibility or certification is denied or revoked, eligibility of certification may be reconsidered on the following basis:

A. in the event of a felony conviction directly related to music therapy practice or public health and/or safety, no earlier than seven (7) years from the exhaustion of appeals or release from confinement, whichever is later;

B. in any other event, no earlier than five (5) years from the final decision of ineligibility or revocation.

In addition to other facts required by the CBMT, such an individual must fully set forth the original circumstances of the decision denying eligibility or revoking certification as well as all current facts and circumstances since the adverse decision relevant to the reconsideration of eligibility or the reinstatement of certification. When eligibility has been denied because of a felony conviction, the individual bears the burden of demonstrating by clear and convincing evidence that the individual has been rehabilitated and does not pose a danger to others.

*Adopted: February 8, 1997*

*Effective date: January 1, 1998*

*Revised: February 7, 1998*

*Revised: February 8, 2001*

## AMTA Code of Ethics

### **Preamble**

The members of the American Music Therapy Association, Inc., hereby recognize and publicly accept the proposition that the fundamental purposes of the profession are the progressive development of the use of music to accomplish therapeutic aims and the advancement of training, education, and research in music therapy. Our objectives are to determine and utilize music therapy approaches that effectively aid in the restoration, maintenance, and improvement in mental and physical health. To that end, we believe in the dignity and worth of every person. We promote the use of music in therapy, establish and maintain high standards in public service, and require of ourselves the utmost in ethical conduct.

This Code of Ethics is applicable to all those holding the MT-BC credential or a professional designation of the National Music Therapy Registry and professional membership in the American Music Therapy Association. This Code is also applicable to music therapy students and interns under clinical supervision. We shall not use our professional positions or relationships, nor permit ourselves or our services to be used by others for purposes inconsistent with the principles set forth in this document. Upholding our right to freedom of inquiry and communication, we accept the responsibilities inherent in such freedom: competency, objectivity, consistency, integrity, and continual concern for the best interests of society and our profession. Therefore, we collectively and individually affirm the following declarations of professional conduct.

### **1.0 Professional Competence and Responsibilities**

1.1 The MT will perform only those duties for which he/she has been adequately trained, not engaging outside his/her area of competence.

1.2 The MT will state his/her qualifications, titles, and professional affiliation(s) accurately.

1.3 The MT will participate in continuing education activities to maintain and improve his/her knowledge and skills.

1.4 The MT will assist the public in identifying competent and qualified music therapists and will discourage the misuse and incompetent practice of music therapy.

1.5 The MT is aware of personal limitations, problems, and values that might interfere with his/her professional work and, at an early stage, will take whatever action is necessary (i.e., seeking professional help, limiting or discontinuing work with clients, etc.) to ensure that services to clients are not affected by these limitations and problems.

1.6 The MT respects the rights of others to hold values, attitudes, and opinions that differ from his/her own.

1.7 The MT does not engage in sexual harassment.

1.8 The MT accords sexual harassment grievants and respondents dignity and respect, and does not base decisions solely upon their having made, or having been the subject of, sexual harassment charges.

1.9 The MT practices with integrity, honesty, fairness, and respect for others.

1.10 The MT delegates to his/her employees, students, or co-workers only those responsibilities that such persons can reasonably be expected to perform competently on the basis of their

training and experience. The MT takes reasonable steps to see that such persons perform services competently; and, if

institutional policies prevent fulfillment of this obligation, the MT attempts to correct the situation to the extent feasible.

## **2.0 General Standards**

2.1 The MT will strive for the highest standards in his/her work, offering the highest quality of services to clients/students.

2.2 The MT will use procedures that conform with his/her interpretation of the Standards of Clinical Practice of the American Music Therapy Association, Inc.

### **2.3 Moral and Legal Standards**

2.3.1 The MT respects the social and moral expectations of the community in which he/she works. The MT is aware that standards of behavior are a personal matter as they are for other citizens, except as they may concern the fulfillment of professional duties or influence the public attitude and trust towards the profession.

2.3.2 The MT refuses to participate in activities that are illegal or inhumane, that violate the civil rights of others, or that discriminate against individuals based upon race, ethnicity, language, religion, marital status, gender, sexual orientation, age, ability, socioeconomic status, or political affiliation. In addition, the MT works to eliminate the effect on his or her work of biases based upon these factors.

## **3.0 Relationships with Clients/Students/Research Subjects**

3.1 The welfare of the client will be of utmost importance to the MT.

3.2 The MT will protect the rights of the individuals with whom he/she works. These rights will include, but are not limited to the following:

- - right to safety;
- - right to dignity;
- - legal and civil rights;
- - right to treatment;
- - right to self-determination;
- - right to respect; and
- - right to participate in treatment decisions.

3.3 The MT will not discriminate in relationships with clients/students/research subjects because of race, ethnicity, language, religion, marital status, gender, sexual orientation, age, ability, socioeconomic status or political affiliation.

3.4 The MT will not exploit clients/students/research subjects sexually, physically, financially or emotionally.

3.5 The MT will not enter into dual relationships with clients/students/research subjects and will avoid those situations that interfere with professional judgment or objectivity (e.g., those involving competitive and/or conflicting interests) in their relationships.

3.6 The MT will exert caution in predicting the results of services offered, although a reasonable statement of prognosis and/or progress may be made. The MT will make only those claims to clients concerning the efficacy of services that would be willingly submitted for professional scrutiny through peer review, publication in a professional journal, or documentation in the client's record.

3.7 The MT will offer music therapy services only in the context of a professional relationship and in a setting which insures safety and protection for both client and therapist. The MT will avoid deception in representations of music therapy to the public.

3.8 The MT will inform the client and/or guardian as to the purpose, nature, and effects of assessment and treatment.

3.9 The MT will use every available resource to serve the client best.

3.10 The MT will utilize the profession's Standards of Practice as a guideline in accepting or declining referrals or requests for services, as well as in terminating or referring clients when the client no longer benefits from the therapeutic relationship.

3.11 In those emerging areas of practice for which generally recognized standards are not yet defined, the MT will nevertheless utilize cautious judgment and will take reasonable steps to ensure the competence of his/her work, as well as to protect clients, students, and research subjects from harm.

### 3.12 Confidentiality

3.12.1 The MT protects the confidentiality of information obtained in the course of practice, supervision, teaching, and/or research.

3.12.2 In compliance with federal, state and local regulations and organizational policies and procedures, confidential information may be revealed under circumstances which include but are not limited to:

a. when, under careful deliberation, it is decided that society, the client, or other individuals appear to be in imminent danger. In this situation, information may be shared only with the appropriate authorities, professionals or others. The client is made aware of this when possible and if reasonable.

b. when other professionals within a facility or agency are directly related with the case or situation.

c. when the client consents to the releasing of confidential information.

d. when compelled by a court or administrative order or subpoena, provided such order or subpoena is valid and served in accordance with applicable law.

3.12.3 The MT informs clients of the limits of confidentiality prior to beginning treatment.

3.12.4 The MT disguises the identity of the client in the presentation of case materials for research and teaching. Client or guardian consent is obtained, with full disclosure of the intended use of the material.

3.12.5 All forms of individually identifiable client information, including, but not limited to verbal, written, audio, video and digital will be acquired with the informed client or guardian consent and will be maintained in a confidential manner by the MT. Also, adequate security will be exercised in the preservation and ultimate disposition of these records.

3.12.6 Information obtained in the course of evaluating services, consulting, supervision, peer review, and quality assurance procedures will be kept confidential.

#### **4.0 Relationships with Colleagues**

4.1 The MT acts with integrity in regard to colleagues in music therapy and other professions and will cooperate with them whenever appropriate.

4.2 The MT will not offer professional services to a person receiving music therapy from another music therapist except by agreement with that therapist or after termination of the client's relationship with that therapist.

4.3 The MT will attempt to establish harmonious relations with members from other professions and professional organizations and will not damage the professional reputation or practice of others.

4.4 The MT will share with other members of the treatment team information concerning evaluative and therapeutic goals and procedures used.

#### **5.0 Relationship with Employers**

5.1 The MT will observe the regulations, policies, and procedures of employers with the exception of those that are in violation of this code of ethics.

5.2 The MT will inform employers of conditions that may limit the effectiveness of the services being rendered.

5.3 When representing the employer or agency, the MT will differentiate personal views from those of the profession, the employer, and the agency.

5.4 The MT will provide services in an ethical manner and will protect the property, integrity, and reputation of the employing agency.

5.5 The MT will utilize the agency's facilities and resources only as authorized.

5.6 The MT will not use his/her position to obtain clients for private practice, unless authorized to do so by the employing agency.

#### **6.0 Responsibility to Community/Public**

6.1 The MT will strive to increase public awareness of music therapy.

6.2 The MT engaged in a private practice or business will abide by federal, state and local regulations relevant to self-employment including but not limited to professional liability, registering and maintaining a business, tax codes and liability, confidentiality and reimbursement.

#### **7.0 Responsibility to the Profession/Association**

7.1 The MT respects the rights, rules, and reputation of his/her professional association.

7.2 The MT will distinguish personal from professional views when acting on behalf of his/her association. The MT will represent the association only with appropriate authorization.

7.3 The MT will strive to increase the level of knowledge, skills, and research within the profession.

7.4 The MT will refrain from the misuse of an official position within the association.

7.5 The MT will exercise integrity and confidentiality when carrying out his/her official duties in the association.

## **8.0 Research**

8.1 The MT establishes a precise agreement with research subjects prior to their participation in the study. In this agreement, the responsibilities and rights of all parties are explained, and written consent is obtained. The MT explains all aspects of the research that might influence the subject's willingness to participate, including all possible risks and benefits. The MT will avoid any deception in research.

8.2 Participation of subjects in music therapy research will be voluntary. Appropriate authorization will be obtained from the subjects involved (or specified and/or legal guardians) and the facility. The subject is free to refuse to participate or to withdraw from the research at any time without penalty or loss of services.

8.3 The MT is ultimately responsible for protecting the welfare of the research subjects, both during and after the study, in the event of aftereffects, and will take all precautions to avoid injurious psychological, physical, or social effects to the subjects.

8.4 The MT will store data in a secure location accessible to the researcher. The researcher will determine a set period of time after completion of the study by which all research data must be shredded or erased.

8.5 The MT will be competent in his/her research efforts, being cognizant of his/her limits.

8.6 The MT will present his/her findings without distortion and in a manner that will not be misleading.

### **8.7 Publication Credit**

8.7.1 Credit is assigned only to those who have contributed to a publication, in proportion to their contribution.

8.7.2 Major contributions of a professional nature made by several persons to a common project will be recognized by joint authorship.

8.7.3 Minor contributions such as editing or advising, will be recognized in footnotes or in an introductory statement.

8.7.4 Acknowledgment through specific citations will be made for unpublished as well as published material that has directly influenced the research or writing.

8.7.5 The MT who compiles and edits for publication the contribution of others will publish the symposium or report under the title of the committee or symposium, with the therapist's name appearing as chairperson or editor among those of the other contributors or committee members.

## **9.0 Fees and Commercial Activities**

9.1 The MT accepts remuneration only for services actually rendered by himself or herself or under his or her supervision and only in accordance with professional standards that safeguard the best interest of clients and the profession.

9.2 The MT will not take financial advantage of a client. The MT will take into account the client's ability to pay. Financial considerations are secondary to the client's welfare.

9.3 Private fees may not be accepted or charged for services when the MT receives remuneration for these services by the agency.

9.4 No gratuities, gifts or favors should be accepted from clients that could interfere with the MT's decisions or judgments.

9.5 Referral sources may not receive a commission fee, or privilege for making referrals (fee-splitting).

9.6 The MT will not engage in commercial activities that conflict with responsibilities to clients or colleagues.

9.7 The materials or products dispensed to clients should be in the client's best interest, with the client's having the freedom of choice. The MT will not profit from the sale of equipment/materials to clients. Charges for any materials will be separate from the bill for services.

## **10.0 Announcing Services**

10.1 The MT will adhere to professional rather than commercial standards in making known his or her availability for professional services. The MT will offer music therapy services only in a manner that neither discredits the profession nor decreases the trust of the public in the profession.

10.2 The MT will not solicit clients of other MT's.

10.3 The MT will make every effort to ensure that public information materials are accurate and complete in reference to professional services and facilities.

10.4 The MT will avoid the following in announcing services: misleading or deceptive advertising, misrepresentation of specialty, guarantees or false expectations, and the use of the Association's logo.

10.5 The MT will differentiate between private practice and private music studio in announcing services.

10.6 The following materials may be used in announcing services (all of which must be dignified in appearance and content): announcement cards, brochures, letterhead, business cards and the internet. The MT may include the following on these materials: name, title, degrees, schools, dates, certification, location, hours, contact information, and an indication of the nature of the services offered.



10.7 Announcing services through the mail (to other professionals), a listing in the telephone directory, or the internet (i.e., email, website) are acceptable. No advertisement or announcement will be rendered in a manner that will be untruthful and/or deceive the public.

### **11.0 Education (Teaching, Supervision, Administration)**

11.1 The MT involved in teaching establishes a program combining academic, research, clinical, and ethical aspects of practice. The program will include a wide range of methods and exposure to and application of current literature.

11.2 The MT involved in education and/or supervision will use his/her skill to help others acquire the knowledge and skills necessary to perform with high standards of professional competence.

11.3 Theory and methods will be consistent with recent advances in music therapy and related health fields. The MT involved in education will teach new techniques or areas of study only after first undertaking appropriate training, supervision, study, and/or consultation from persons who are competent in those areas or techniques.

11.4 The MT involved in the education of students and internship training will ensure that clinical work performed by students is rendered under adequate supervision by other music therapists, other professionals, and/or the MT educator.

11.5 The MT involved in education and/or supervision will evaluate the competencies of students as required by good educational practices and will identify those students whose limitations impede performance as a competent music therapist. The MT will recommend only those students for internship or membership whom he/she feels will perform as competent music therapists and who meet the academic, clinical, and ethical expectations of the American Music Therapy Association, Inc.

11.6 The MT involved in the education of students and internship training will serve as an exemplary role model in regard to ethical conduct and the enforcement of the Code of Ethics.

11.7 The MT involved in education and training will ensure that students and interns operate under the same ethical standards that govern professionals.

### **12.0 Implementation**

#### *12.1 Confronting Ethical Issues*

12.1.1 MT's have an obligation to be familiar with this Code of Ethics.

12.1.2 When a MT is uncertain whether a particular situation or course of action would violate this Code of Ethics, the MT should consult with a member of the Ethics Board.

12.1.3 A MT will not disobey this code, even when asked to do so by his/her employer.

12.1.4 The MT has an obligation to report ethical violations of this Code by other MT's to the Ethics Board.

12.1.5 The MT does not report or encourage reporting of ethics grievances that are frivolous and are intended to harm the respondent rather than to protect the public and preserve the integrity of the field of music therapy.

12.1.6 The MT cooperates in ethics investigations, proceedings, and hearings. Failure to cooperate is, itself, an ethics violation.

12.1.7 Grievances may be reported by any individual or group who has witnessed an apparent ethical violation by a Music Therapist

12.1.8 Neither the Chair nor any other member of the Ethics Board will take part in the informal or formal resolution procedures if s/he has a conflict of interest.

### *12.2 Informal Resolution of Ethical Violations*

12.2.1 Upon observing or becoming aware of alleged violations of this Code of Ethics by an MT (hereinafter referred to as the respondent), the observer will consult first with the respondent involved and discuss possible actions to correct the alleged violation when such consultation is appropriate for the resolution of the ethical violation. The MT should document these efforts at informal resolution. In some instances, the individual consultation between the observer and the respondent may be either inappropriate or not feasible. In such instances (which may include, but are not limited to: sexual harassment, fear of physical retaliation, and imminent threats to the observer's employment), the observer should file a formal grievance with an explanation of the reason why individual consultation was not appropriate or feasible.

### *12.3 Formal Resolution of Ethical Violations*

12.3.1 If an apparent ethical violation is not appropriate for informal resolution or is not resolved through consultation, the observer (herein referred to as the grievant) will submit a written report (herein referred to as the grievance) describing the alleged violation(s) to a member of the Ethics Board. The written report will consist of the following: (a) a signed, dated summary, not longer than one page, of the principle allegations (hereinafter referred to as the charge) against the respondent; (b) a thorough explanation of the alleged violation(s); (c) a summary of informal resolution attempts, when such have been made; and (d) collaborative documentation, including signed statements by witnesses, if available.

12.3.2 The grievance must be made within one year of the last instance of the alleged violation(s) of this code.

12.3.3 Upon receipt of the grievance by the member of the Ethics, the member in consultation with the Ethics Chairperson and the Executive Director of AMTA will advise the MT respondent, in writing and within 45 days, that an ethics grievance has been made against him/her. Included in this notification will be a copy of the signed charge. The Ethics Board member will invite the respondent to submit a written defense within 60 days, including corroborative documentation and/or signed statements by witnesses, if available.

12.3.4 The Ethics Chairperson, or his/her designee from the Ethics Board, will conduct an initial inquiry into the grievance to confirm (a) the seriousness of the charge and (b) the possibility of resolution of the issue without a formal hearing.

12.3.5 After the initial inquiry, the Ethics Chairperson or designee may, at his or her discretion, negotiate a resolution to the grievance that will be presented in writing to the grievant and the respondent. If both parties agree to this resolution, they will sign and abide by the terms therein stated.

12.3.6 The initial inquiry by the Ethics Chairperson or designee, and negotiated attempts at a resolution, will be conducted within 45 days following receipt of the respondent's defense.

12.3.7 If agreement to a negotiated resolution is not reached, or if 45 days have passed following receipt of the respondent's defense, the Ethics Chairperson will initiate the formal procedure. At that time the Ethics Chairperson will inform in writing the Ethics Board, the Executive Director of AMTA, the President of AMTA, the grievant, and the respondent that the formal hearing procedure has begun and appoint a chair for the hearing panel.

#### 12.4 *Group Grievances*

12.4.1 If the Ethics Chairperson or designee receives more than one grievance related in a substantive way against the same party, the chair or designee may choose to combine the grievances into a single grievance, as long as there is no objection to such combination by the individual grievants. In this instance, the procedure heretofore established will remain the same.

12.4.2 If two or more individuals report a grievance against the same party, they may report a group grievance. This will be handled as a single grievance, following established procedures.

12.4.3 An employing agency may charge a MT with a violation of this Code of Ethics in the same manner as an individual grievant does so. The employing agency will appoint a representative to function in the role of grievant.

#### 12.5 *Corrective Actions*

12.5.1 If the individual takes no corrective action within the designated time-limit, the panel chair will reconvene the hearing panel to determine recommended sanctions to the Executive Board for action. Possible sanctions may include, but are not limited to:

(a) permanent or time-specific withdrawal of an individual's membership in the Association;

(b) rehabilitative activity, such as personal therapy;

(c) a binding agreement by the respondent to conform his/her practice, education/training methods, or research methods to AMTA rules and guidelines;

(d) a written reprimand;

(e) recommendation to the National Music Therapy Registry or the Certification Board for Music Therapists (as appropriate) for the withdrawal of professional designation or credential. The MT may appeal the decision of the Ethics Board to the Judicial Review Board.

### New Master of Music degree in Music Therapy

Q#4 of the new program form notes that students will be terminated for instances that violate the code of ethics established by the music therapy profession. *Can you please offer a brief description of the code, or supply me with a copy of it, to include with the proposal?*

- Music therapists must follow two sets of standards. All music therapists must adhere to the standards set forth by the American Music Therapy Association (AMTA). These standards can be found at <http://www.musictherapy.org/ethics.html> (copy provided).
- In addition to AMTA standards, board certified music therapists must also adhere to standards set forth by the Certification Board for Music Therapists. Those can be found at <http://www.cbmt.org/default.asp?page=Code%20of%20Professional%20Practice> (copy provided).

Q#4 also mentions proficiency exams. *Please explain what these exams are.*

- Proficiency exams are performance-based tests in which students are required to demonstrate specific playing skills needed to practice in the field of music therapy.

Q#4 refers to an “attached curricular table,” but no such document was included. *Please send me this table.*

- This table has been included. Please note that the table is a guideline; the actual courses taken will be individualized based on previous work completed by each student. In other words, if a student had already completed the courses listed on the curricular table (or their equivalents), he or she would not need to take the courses.

*Please confirm my understanding that students who wish to earn a MM in MT will pursue either the thesis (non-clinical) or non-thesis (clinical) options.*

- Students in the thesis track will be required to do a research-based thesis of some sort, which may or may not involve clinical interactions. Students in the clinical option will not do a research-based thesis; instead they will do a special clinical project. However, ALL students will do some clinical work as part of their actual coursework.

*Please clarify the name of the clinical option- it is referred to both as the “clinical track” and “clinical placement.”*

- The name of the clinical option is “clinical track.” “Clinical placement” refers to the actual clinical fieldwork that the students will be required to complete.

*Please confirm that this proposed new degree program will be housed solely within the School of Music, and does not include participation from other colleges.*

- The degree will be housed solely in the school of music. Students will take electives from outside the school of music as part of the degree, but the degree itself is a music degree.

*MUS 730 refers to “individual advanced competencies” – please clarify this, including whether all students will be required to complete an advanced competency (UK term is “specialty”) and, if so, what are the specific specialties, and what are the requirements for each?*

- “Advanced competencies” refers to skills learned at the post-baccalaureate level. (Music therapists can practice after obtaining a bachelor’s degree.) It does not mean that students have to select a specialty area; it simply means that students

must require skills at the graduate level that go beyond what was garnered at the undergraduate level. The advanced competency skill set was determined by the American Music Therapy Association. An outline of all of the advanced competencies can be found at <http://www.musictherapy.org/handbook/advancedcomp.html> (copy provided).

### MUS 633

Q#2e (meeting pattern/contact hours) has numbers that are not easily used in SAP. *Please list contact hours in whole numbers.*

- This has been changed to 3.

Q#2j (prerequisites) lists “completion of the music therapy internship.” That is MUS 433G, right? I would like to change the prereq so that the prefix and course number is stated, instead of the course title. *Please let me know if this is acceptable.*

- That is fine.

Q#3 (taught off-campus) has both boxes checked. *Please state if the course is taught off-campus or not.* If the course has on-campus and off-campus aspects, “yes” is the only box that needs to be checked.

- It has both aspects, so it should just be “yes.”

### MUS 730

Q#2i lists advanced competencies in MT. *Please clarify the number of competencies, their exact names (an additional comma may be helpful in the list), and the requirements for each.* (It’s not clear if one is “Musical Development,” or “Musical Development and Personal Growth.”)

- A comma has been added to read “Musical Development and Personal Growth,”
- MUS 730 is an independent study course and as such there is not a pre-set number of competencies that students will be required to complete. Instead, students will be asked to select from the competencies listed by AMTA. The number of competencies studied and/or depth of study will be determined based on the number of credits for which the course is taken. (This course can be taken for variable credits.) Competencies will be chosen from those listed by the American Music Therapy Association; a copy of the “Advanced Competencies” has been provided.

*model* - a. comprehensive approach to assessment, treatment, and evaluation which includes theoretical principles, clinical implications and contraindications, goals, methodological guidelines and specifications, and the use of procedural sequences and techniques.<sup>5</sup>

*musical responses* - the musical actions or reactions of a person in response to external or internal stimuli and the physiological, affective, motor, cognitive, or communicative responses to musical stimuli.

*primary therapist* - whether in an individual private practice or working within a team approach, the person who facilitates the therapeutic work of the highest importance.

*process* - a sequence of conscious and unconscious events leading to some change or alteration in the state of a dynamic system that includes the client, the music, and the music therapist.<sup>6</sup>

*supervision* - usually referred to as clinical, or music therapy, supervision. This educational relationship consists of an on-going consultation with another health care professional about the supervisee's emerging role or continued growth as a clinician. Clinical supervision provides support for the supervisee for the purpose of development as a music therapist.

*understanding* - knowledge of or familiarity with a particular thing; skill in dealing with or handling something.<sup>7</sup> Perception and comprehension of the nature and significance of.<sup>8</sup>

[1] Merriam-Webster. (2006-2007). *Merriam-Webster's online dictionary*. Retrieved January 31, 2007, from <http://www.m-w.com/cgi-bin/dictionary>

[2] Adapted from Cameron, N., & Rychlak, J. F. (1985). *Personality development and psychopathology: A dynamic approach (2nd ed)*. Boston: Houghton Mifflin Company.

[3] Merriam-Webster. (2006-2007). *Merriam-Webster's online dictionary*. Retrieved January 31, 2007, from <http://www.m-w.com/cgi-bin/dictionary>

[4] Adapted from Merriam-Webster. (2006-2007). *Merriam-Webster's online dictionary*. Retrieved January 31, 2007, from <http://www.m-w.com/cgi-bin/dictionary>

[5] Bruscia, K. (1998) *Defining music therapy (2nd ed.)*. Gilsum, NH: Barcelona Publishers, p.113.

[6] Adapted from Colman, A. M. (2006). *A dictionary of psychology*. In Oxford Reference Online. Retrieved September 29, 2006 from <http://www.oxfordreference.com/views/ENTRY.html?subview=Main&entry=t87.e6674>

[7] *Dictionary.com Unabridged (v 1.1)*. Retrieved January 31, 2007, from Dictionary.com website: <http://dictionary.reference.com/browse/understanding>

[8] understanding. (n.d.). *The American Heritage® Dictionary of the English Language, Fourth Edition*. Retrieved January 31, 2007, from Dictionary.com website: <http://dictionary.reference.com/browse/understanding>



## SIGNATURE ROUTING LOG

General Information:

Proposal Type: Course  Program  Other

Proposal Name<sup>1</sup> (course prefix & number, pgm major & degree, etc.): Chinese Minor (new)

Proposal Contact Person Name: Liang Luo Phone: 7-9139 Email: liang.luo@uky.edu

## INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
MCL, Chinese division director	10-24-10	Massamichi Inoue / 7-7024 / msinoue@uky.edu	<i>M Inoue</i>
MCL, Chair	10-24-10	Theodore Fiedler / tfiedler@uky.edu / 7-4642 / / / /	<i>Theodore Fiedler</i>
A&S Ed. Policy Cmte.	11/16/10	Randall Roorda, Humanities / 7-1033 / roorda@uky.edu	<i>Randall Roorda</i>
A&S Dean	11/16/10	Anna Bosch, Associate Dean / 7-6689 / bosch@uky.edu	<i>ARB Bosch</i>

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision <sup>2</sup>
Undergraduate Council	2/1/2011	Sharon Gill	
Graduate Council			
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

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<sup>1</sup> Proposal name used here must match name entered on corresponding course or program form.

<sup>2</sup> Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

*11/16/10  
approved  
11/16/10*

**NEW UNDERGRADUATE MINOR / CHANGE UNDERGRADUATE MINOR FORM**

Please fill out Section I.

**SECTION I: GENERAL INFORMATION**

Program: Chinese

Minor: Chinese

College: A&S

Department: MCLLC

Bulletin PP: \_\_\_\_\_

CIP Code: \_\_\_\_\_

Accrediting Agency (if applicable): \_\_\_\_\_

⇒ Fill out Section II if you are proposing a *NEW* minor.

**Section II: New Minor**

Please see revised proposal at end of document.

## Chinese Minor Proposal

The minor in Chinese will give students a firm foundation and broad perspective in Chinese language (Mandarin), literature, and culture, preparing them to be active players in the globalizing twenty-first century. The Chinese-speaking world will continue to play an increasingly important role in global economics, culture, and politics in the years to come. Students with a sound knowledge of Chinese language and culture can engage in careers including but not limited to communications, education, entertainment, international trade and finance, international relations, as well as pursuing further education in such broad fields as business, history, language, law, literature, and medicine.

The Department of Modern and Classical Languages, Literatures and Cultures has proposed a BA/BS program in Chinese (cf. request for a new major in Chinese in fall 2009) and the proposed major is scheduled to be in place by the end of fall 2010 or spring 2011. The addition of four tenure-track faculty members over the past two years, including Mingzhen Bao, Matt Wells, Liang Luo (all from MCL), and Denise Ho (from History), along with a well-qualified lecturer, Wei Jiang, and a full-time instructor Shaoqian Zhang for the 2010-2011 academic year, has enabled the instructional program in Chinese to expand to include four years of language and multiple offerings in literature, culture, and history. There is now clearly a critical mass of faculty in place to offer not only a BA/BS program in Chinese, but also a minor in Chinese.

**The minor in Chinese requires a minimum of 18 hours of course work**, anchored by a firm foundation in linguistic and cultural studies of Chinese language, literature, history, art, culture and society. The new minor complements the new Chinese major. It will provide more flexible opportunity for students interested in China to pursue their linguistic and cultural studies in addition to their chosen major fields of study.

### Requirements for the minor in Chinese:

Pre-Minor requirements: 16 Credits or equivalent

CHI 101 Beginning Chinese I CHI 102 Beginning Chinese II CHI 201 Intermediate Chinese I (pre-requisite: CHI 102) CHI 202 Intermediate Chinese II	<b>Total: 16 Credits or equivalent</b>
--	--

### Minor Core Courses: 6 credits or above

CHI 301 Advanced Intermediate Chinese I (pre-requisite: CHI 202) CHI 302 Advanced Intermediate Chinese II CHI 330: Intro to Chinese Culture to 1840 CHI 331: Intro to Chinese Culture since 1840	<b>Total: 6 Credits or above</b>
--	----------------------------------

**In addition, students must take at least another 12 Credits** in Chinese language, culture, literature, history, art, or other approved areas taken from the following list **to lead to the total credit hours of 18**. Courses beyond this list may be approved by a faculty advisor.

- Course list:

Chinese Language:

CHI 401: Advanced Chinese (prerequisite: CHI 302) (3) currently taught  
 CHI 402: Advanced Chinese (3) currently taught  
 CHI 511: Literary Chinese (3) ready for web transmittal  
 CHI 520: Chinese Linguistics (3) ready for web transmittal  
 CHI 310: Sounds of East Asian Languages (3) ready for web transmittal  
 Other related courses with the approval of faculty advisor.

Arts, Literature, and Film:

CHI 320: Gender Politics in Chinese Literature (3) currently taught  
 CHI 321: Introduction to Contemporary Chinese Film (3) currently taught  
 CHI 322: Self and Society in Chinese Culture (3) ready for web transmittal  
 A-H 415G: Topics in Asian Art History (3)\* currently taught  
 Other related courses with the approval of faculty advisor.

Modern Culture and Society:

CHI 430: Popular Culture in Modern China (3) currently taught  
 HIS 598: The Emergence of Modern China, 1644-Present (3) currently taught  
 HIS 355: Non-Western History since 1789 (3)\* currently taught  
 Other related courses with the approval of faculty advisor.

Pre-Modern Culture and Society:

CHI 345: Early Chinese Thought (3) ready for web transmittal  
 CHI 450: Daoism, East and West (3) ready for web transmittal  
 Other related courses with the approval of faculty advisor.

Chin in the East Asian Context

**(No more than 3 credits can be taken from this category)**

HIS 295 East Asia to 1800 (3 hours) currently taught  
 HIS 296 East Asia Since 1800 (3) currently taught  
 ANT 326 Peoples of East Asia (3) currently taught  
 PS 419G The Governments and Politics of East Asia (3) currently taught  
 GEO 333 Geography of East Asia (3) currently taught

\*subtitle of course must clearly indicate a direct focus on China.

**Total number of credit hours for the minor in Chinese: 18 Credits**

With CHI 101 and 102, CHI 201 and 202 (16 credits or equivalent) as pre-requisites, and at least 18 credits from our list of courses in Chinese language and culture, the Chinese minor may take 2 to 3 years depending on the background and progress of each student.

Dear Dan,

Thank you so much for your call this afternoon. It helped us tremendously in clarifying many of the questions raised below.

RE: Minor Proposal – The committee was fairly confused about the proposal and its structure. I will try my best to explain the nature of the concerns and look forward to your reply. Some overlap exists with the Major.

1. What is the status of the proposed courses?
2. Like # 2 above, please verify the status of the proposed courses.
3. Please explain why many of the courses are not present on the A & S website.
4. Does the program teach Mandarin or Cantonese?

The major is Chinese but the dialect is Mandarin as with all other US Chinese programs (specify Mandarin in the proposal).

5. Much of the confusion relates to the tracks and to pre-requisites.
  - a. Is it necessary to have 2 tracks? Given the flexibility in the course, we think by intention, it may not really be necessary. It certainly adds to the confusion.  
Tracks will be eliminated.
  - b. It would seem that a student could actually complete both tracks based on hours of electives and crossing over? Is this true? How should that be reflected if still necessary to have 2 tracks?  
Tracks will be eliminated.
  - c. It may appear that the Chinese language pre-requisites also require CHI 101/102? Is this correct? If so, then the credit hours total is not correct for pre-requisites.  
**We'll add CHI 101 and 102 to the pre-requisites and clearly state that CHI 101 and 102, CHI 201 and 202 are the pre-requisites for the Chinese minor, totaling 16 credits or the equivalent.**
  - d. If you elect the Culture track, can you then take CHI 401/402 without 301/302? Do you need 301/302 before CHI 310? Does 520 assume you took 301/302 and 401/402?  
**We'll add clear language stating that as a language sequence, CHI 401 assumes CHI 301 and 302, and CHI 301 assumes CHI 201 and 202, etc. CHI 310 and CHI 520 are cross-listed as both Chinese and Linguistics courses and do not fall in the language sequence (Mingzhen, please clarify!).**
6. Based on the description it is unclear to us if it is actually 3 years in the minor versus 2 years based on how the courses lay out and the pre-requisites?  
With CHI 101 and 102, CHI 201 and 202 (16 credits or equivalent) as pre-requisites, and at least 18 credits from our list of courses in Chinese language and culture, the Chinese minor may take 2 to 3 years depending on the background and progress of each student.
7. The last paragraph of page one of the proposal, which describes the tracks and hours, we find confusing and potentially inaccurate depending on the above answers.  
Tracks will be eliminated.
8. On page 2, the sentence **In addition, students must take at least 12 Credits in Chinese language, or, culture...** etc. It seems the word "or" is necessary to be consistent with tracks?  
**CHI 301 and 302, and CHI 330 and 331 will be listed as "Minor core courses" under "Course List," students must take at least 6 credits in this category.**

The committee was not comfortable with the proposal. A motion was made to have the sponsor come back to the committee with a response before a recommendation could be made.

The major and minor documents have been revised accordingly.

Liang

**Brothers, Sheila C**

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**From:** Wells, Matthew V  
**Sent:** Tuesday, April 19, 2011 1:50 PM  
**To:** Wermeling, Daniel; Brothers, Sheila C  
**Cc:** Luo, Liang; Bosch, Anna; Hanson, Roxie; Fiedler, Theodore  
**Subject:** RE: New Cmte Item\_New BA Chinese Language and Literature  
**Attachments:** Doc\_1\_CHI\_UG\_BAnew.doc; Doc\_2\_CHI\_UG\_classify-1.doc; Doc\_3\_CHI Major updated 041911.doc; Doc\_4\_CHI Minor updated 041811.doc; Doc\_5\_UG Pgm GE CHANGE ONLY AS MCL CHI BA-BS.pdf; Doc\_6\_UG Pgm GE CHANGE ONLY AS MCL CHI BA-BS.doc; Doc\_7\_CHI Major and Minor responses.doc

Dear Dan,

Prof. Luo and I would like to thank you again for meeting with us by phone along with Roxie to help us work through the revisions. As Prof. Luo and I are new here, we appreciate the chance to work with senior faculty to understand the submission and review process.

Attached are the documents that we hope will satisfy the committee's needs at this time. Please note that in some cases we have included our revisions in red to highlight the changes requested by your committee. This can easily be changed to black by yourself or another member of the committee, or I am happy to resend the documents to you with the changes un-highlighted.

The attachments are:

Doc 1. Request for New Undergraduate Program (form) Doc 2. Request to Classify Proposed Program (form) Doc 3. Chinese Major proposal (narrative) Doc 4. Chinese Minor proposal (narrative) Doc 5. Undergraduate Program Gen Ed change form, approved for all Arts and Sciences programs (pdf form) Doc 6. Copy of Item 5 in Word format Doc 7. A complete list of the questions from your committee along with our responses as we discussed them on the phone on 4/18, 1:30pm.

Please let me know if you need anything else from us at this time. We're looking forward to hearing back from you soon.

Best wishes,

Matthew Wells and Liang Luo

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Matthew Wells  
Assistant Professor of Chinese  
Department of Modern and Classical Languages, Literatures, and Cultures  
Email: [matt.wells@uky.edu](mailto:matt.wells@uky.edu)  
Phone: (859) 257-1094  
Mail: University of Kentucky  
1035 Patterson Office Tower  
Lexington, KY 40506-0027

# REQUEST TO CLASSIFY PROPOSED PROGRAM

## **Section I (REQUIRED)**

1.	The proposed new degree program will be (please check one): <input checked="" type="checkbox"/> Undergraduate* <input type="checkbox"/> Masters* <input type="checkbox"/> Doctoral* <input type="checkbox"/> Professional*		
2.	Have you contacted the Associate Provost for Academic Administration (APAA)? YES <input checked="" type="checkbox"/> Date of contact: 10/16/09 NO <input type="checkbox"/> (Contact the APAA prior to filling out the remainder of this form.)		
3.	Degree Title:	B.A.	
4.	Major Title:	Chinese Language and Literature	
5.	Option:		
6.	Primary College:	Arts and Sciences	
7.	Primary Department:	Modern and Classical Language, Literature and Culture: Chinese division	
8.	CIP Code (supplied by APAA)	16.0301	
9.	Accrediting Agency (if applicable):		
10.	Who should be contacted for further information about the proposed new degree program:		
	Name: Matthew Wells	Email: Matt.Wells@uky.edu	Phone: 7-1094
11.	Has the APAA determined that the proposed new degree program is outside UK's band? <input type="checkbox"/> YES (Continue with the Section II* on a separate sheet.) <input checked="" type="checkbox"/> NO (This form is complete. Print PAGE ONE & submit with appropriate form for new program.)		

## **Section II (Attach separate pages.)**

I. Submit a one- to two- page abstract narrative of the program proposal summarizing: how this program will prepare Kentuckians for life and work; any plans for collaboration with other institutions; and any plans for participation in the Kentucky Virtual University.

II. Provide a comprehensive program description and complete curriculum. For undergraduate programs include: courses/hours; college-required courses; University Studies Program; pre-major courses; major courses; option courses; electives; any other requirement. Include how program will be evaluated and how student success will be measured. Evaluative items may include, but are not limited to retention in the major from semester to semester; success rate of completion for core courses; and academic performance in suggested program electives.

III. Explain resources (finances, facilities, faculty, etc.) that are needed and available for program implementation and support.

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\* After filling out this form, you must also submit a form for New Undergraduate Program, New Master's Program, or New Doctoral Program. There is no form for new professional programs.



**REQUEST FOR NEW UNDERGRADUATE PROGRAM**  
**(Attach completed "Application to Classify Proposed Program"<sup>1</sup>)**

**1. General Information:**

College: <u>Arts and Sciences</u>	Department: <u>Modern and Classical Language &amp; Literature &amp; and Culture</u>
Major Name: <u>Chinese Language and Literature</u>	Degree Title: <u>B.A.</u>
Formal Option(s), if any: _____	Specialty Field w/in Formal Options, if any: _____
Date of Contact with Assoc. Provost for Academic Administration <sup>1</sup> : <u>10/16/09</u>	Today's Date: <u>10/29/09</u>
Accrediting Agency (if applicable): _____	
Requested Effective Date: <input checked="" type="checkbox"/> Semester following approval. <input type="checkbox"/> OR <input type="checkbox"/> Specific Date <sup>2</sup> : _____	
Contact Person in the Dept: <u>Matthew Wells</u>	Phone: <u>7-1094</u> Email: <u>Matt.Wells@uky.edu</u>

**2. University Studies Requirements/Recommendations for this Program:**

SEE NEXT PAGE

**3. Explain whether the proposed new program (as described in sections 4 through 12) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).**

This program will also include courses taught by Denise Ho in the History Department and Andrew Maske in the Art History Department

**4. How will University Graduation Writing Requirement be satisfied?**

<input checked="" type="checkbox"/> Standard University course offering	Please list: _____
<input type="checkbox"/> Specific course	Please list: _____

<sup>1</sup> Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration.

<sup>2</sup> Programs are typically made effective for the semester following approval. No program will be made effective unless all approvals, up through and including Board of Trustees approval, are received.

**1. General Information:**

College:	<u>Arts &amp; Sciences</u>	Department:	<u>Modern and Classical Languages, Literatures and Cultures</u>		
Major Name:	<u>Chinese</u>	Degree Title:	<u>BA/BS</u>		
Formal Option(s), if any:	<u>      </u>	Specialty Field w/in Formal Options, if any:	<u>      </u>		
Requested Effective Date:	<u>FALL '11, IF RECEIVED BY UNDERGRADUATE COUNCIL BY FRIDAY, APRIL 8.</u>				
Contact Person:	<u>Matt Wells</u>	Phone:	<u>7-1094</u>	Email:	<u>matt.wells@uky.edu</u>

**2. General Education Curriculum for this Program:**

The new General Education curriculum is comprised of the equivalent of 30 credit hours of course work. There are, however, some courses that exceed 3 credits & this would result in more than 30 credits in some majors.

- There is no foreign language requirement for the new Gen Ed curriculum.
- There is no General Education Electives requirement.

<b>Please list the courses/credit hours currently used to fulfill the University Studies curriculum:</b>	
<u>University Studies Program Requirements</u>	
<u>I. Math</u>	<u>0-4</u>
<u>II. Foreign Language</u>	<u>(completed by Premajor Requirement)</u>
<u>III. Inference–Logic</u>	<u>3-6</u>
<u>IV. Written Communication</u>	<u>ENG 104 or Honors</u>
<u>V. Oral Communication</u>	<u>Suspended through Fall 2009</u>
<u>VI. Natural Sciences</u>	<u>6</u>
<u>VII. Social Sciences</u>	<u>6</u>
<u>VIII. Humanities</u>	<u>6</u>
<u>IX. Cross-Cultural</u>	<u>3 (Choose a 300+ level Socia Science or CHI 330 or CHI 331)</u>
<u>X. Electives</u>	<u>6 (Choose two Natural Science courses; 3 credits of USP electives must be outside the student's major)</u>

<b>Please identify below the suggested courses/credit hours to fulfill the General Education curriculum.</b>			
General Education Area		Course	Credit Hrs
<b>I. Intellectual Inquiry (one course in each area)</b>			
Arts and Creativity		<u>any area course</u>	<u>3</u>
Humanities		<u>any area course</u>	<u>3</u>
Social Sciences		<u>any area course</u>	<u>3</u>
Natural/Physical/Mathematical		<u>any area course</u>	<u>3</u>
<b>II. Composition and Communication</b>			
Composition and Communication I		CIS or WRD 110	3
Composition and Communication II		CIS or WRD 111	3
<b>III. Quantitative Reasoning (one course in each area)</b>			
Quantitative Foundations <sup>1</sup>		<u>any area course</u>	<u>3</u>

<sup>1</sup> Note that MA 109 is NOT approved as a Quantitative Foundations course. Students in a major requiring calculus will use a calculus course (MA 113, 123 or 137) while students not requiring calculus should take MA 111, PHI 120 or another approved course.

General Education Implementation – CHANGE UNDERGRADUATE PROGRAM FORM

Statistical Inferential Reasoning	<i>any area course</i>	<u>3</u>
IV. Citizenship (one course in each area)		
Community, Culture and Citizenship in the USA	<i>any area course</i>	<u>3</u>
Global Dynamics	<i>any area course</i>	<u>3</u>
<b>Total General Education Hours</b>		<u>30</u>

If moving from USP to Gen Ed results in unallocated hours, please indicate below how that allocation will be made. See [http://www.uky.edu/Faculty/Senate/files/Forms/Gen Ed Pgm Changes.html](http://www.uky.edu/Faculty/Senate/files/Forms/Gen_Ed_Pgm_Changes.html) for an example.

Unallocated hours from USP will be filled by free electives to lead to the minimum of 120 hours required for graduation.

## REQUEST FOR NEW UNDERGRADUATE PROGRAM

**5. How will college-level requirements be satisfied?**

- Standard college requirement Please list: \_\_\_\_\_
- Specific required course Please list: \_\_\_\_\_

**6. List pre-major or pre-professional course requirements, including credit hours (if applicable):**CHI 201, 4 cr.CHI 202, 4 cr.**7. List the major's course requirements, including credit hours:**

Total number of credit hours for major: 42

Chinese Language Core:

CHI 301

CHI 302

Total: 6 Credits

Chinese Culture Core:

CHI 330: Intro to Chinese Culture to 1840

CHI 331: Intro to Chinese Culture since 1840

Total: 6 Credits

In addition, students must take additional credits in Chinese language, culture, literature, history, art, or other approved areas taken from MCL or other departments to lead to the total credit hours of 42. No more than 15 hours of CHI is permitted from the following. Courses beyond this list may be approved by a faculty advisor.

Course list:

Chinese Language:

CHI 401: Advanced Chinese (3) (pre-requisite: CHI 302, currently taught)

CHI 402: Advanced Chinese (3) (currently taught)

CHI 511: Literary Chinese (3) (ready for web transmittal, see response from Sheila)

CHI 520: Chinese Linguistics (3) (ready for web transmittal)

CHI 310: Sounds of East Asian Languages (3) (ready for web transmittal)

Other related courses with the approval of the faculty advisor.

Arts, Literature, and Film:

CHI 320: Gender Politics in Chinese Literature (3) (currently taught)

CHI 321: Introduction to Contemporary Chinese Film (3) (currently taught)

CHI 322: Self and Society in Chinese Culture (3) (ready for web transmittal)

A-H 415G: Topics in Asian Art History\* (3) (currently taught)

Other related courses with the approval of the faculty advisor.

Contemporary Culture and Society:

CHI 430: Popular Culture in Modern China (3) (currently taught)

HIS 355: Non-Western History since 1789\* (3) (currently taught)

HIS 598: The Emergence of Modern China, 1644-Present (3) (currently taught)

Other related courses with the approval of the faculty advisor.

## REQUEST FOR NEW UNDERGRADUATE PROGRAM

Pre-Modern Culture and Society:

CHI 345: Early Chinese Thought (3) (ready for web transmittal)

CHI 450: Daoism, East and West (3) (ready for web transmittal)

Other related courses with the approval of the faculty advisor.

\*Subtitle of course must clearly indicate a direct focus on China.

Students may take up to 6 elective units drawn from the following list to lead to the total of 42 credits required for the major:

HIS 295: East Asia to 1800 (3) (currently taught)

HIS 296: East Asia since 1800 (3) (currently taught)

HIS 593: East Asia since WWII (3) (currently taught)

AH 310: Studies in Asian Art (3) (currently taught)

TA 584: Asian Theater (3) (currently taught)

GEO 333: Geography of East Asia (3) (currently taught)

MUS 330: Music of the World: Asian Music (3) (currently taught)

PHI 343: Asian Philosophy (3) (currently taught)

PS 419G: The Governments and Politics of East Asia (3) (currently taught)

**Electives: 10-20 hours**

Choose electives to lead to the minimum total of 120 hours required for graduation.

9. Does program allow for an option(s)?  Yes  No

If so, describe option(s) below, including credit hours, and also specialties and subspecialties, if any:

10. Does the program require a certain number of credit hours outside the major subject in a related field?  Yes  No

If so, describe, including credit hours: \_\_\_\_\_

11. Does program require technical or professional support electives?  Yes  No

If so, describe, including credit hours: (Already an interdisciplinary 9-15)

12. Is there a minimum number of free credit hours or support electives?  Yes  No

If so, describe, including credit hours: \_\_\_\_\_

**13. Summary of Required Credit Hours.**

a. Credit Hours of Premajor or Preprofessional Courses:	8	Not Applicable <input type="checkbox"/>
b. Credit Hours for Major Requirements:	42	
c. Credit Hours for Required Minor:	_____	Not Applicable <input checked="" type="checkbox"/>
d. Credit Hours Needed for Specific Option:	_____	Not Applicable <input checked="" type="checkbox"/>
e. Credit Hours Outside of Major Subject in Related Field:	_____	Not Applicable <input checked="" type="checkbox"/>

## REQUEST FOR NEW UNDERGRADUATE PROGRAM

- f. Credit Hours in Technical or Prof. Support Electives: \_\_\_\_\_ Not Applicable
- g. Minimum Credit Hours of Free/Supportive Electives: \_\_\_\_\_ Not Applicable
- h. Total Credit Hours Required by Level:  
 100: 8-20    200: 8-20    300: 30-50    400-500: 20-35
- i. Total Credit Hours Required for Graduation: 8 premajor and 42 major

14. Rationale for Change(s) – If rationale involves accreditation requirements, please include specific references to those.

15. List below the typical semester by semester program for a major. If multiple options are available, attach a separate sheet for each option.

YEAR 1 – FALL: (e.g. "BIO 103; 3 credits")	<u>CHI 101</u> (4) <u>ENG 104</u> (4) <u>USP Math</u> (3) <u>HIS 295</u> (3)  14 credits	YEAR 1 – SPRING:	<u>CHI 102</u> (4) <u>PHI 120</u> (3) <u>USP NS</u> (3) <u>USP HU</u> (3) <u>HIS 296</u> (3)  16 credits
YEAR 2 - FALL :	<u>CHI 201</u> (4) <u>STA 200</u> (3) <u>USP NS</u> (3) <u>CHI 330</u> (3) (USP Cross-Cultural) <u>CHI 321</u> (3)  16 credits	YEAR 2 – SPRING:	<u>CHI 202</u> (4) <u>USP SS</u> (3) <u>USP HU</u> (3) <u>CHI 331</u> (3) (USP Cross-Cultural) <u>CHI 322</u> (3)  16 credits
YEAR 3 - FALL:	<u>A&amp;S NS</u> (3) <u>A&amp;S HU</u> (3) <u>USP SS</u> (3) <u>CHI 320</u> (3) <u>CHI 301</u> (3)  15 credits	YEAR 3 - SPRING:	<u>A&amp;S SS</u> (3) Elective (3) Elective (3) <u>A&amp;S NS</u> (3) <u>CHI 302</u> (3)  15 credits
YEAR 4 - FALL:	<u>A&amp;S HU</u> (3) <u>A&amp;S SS</u> (3) <u>A&amp;S Lab</u> (1) <u>CHI 401</u> (3) <u>CHI 430</u> (3) Elective (3)  16 Credit Hours	YEAR 4 - SPRING:	Elective (3) at 300 level Elective (3) Elective (3) <u>CHI 402</u> (3) <u>CHI 511</u> (3)  15 Credit Hours

Overall: 123

REQUEST FOR NEW UNDERGRADUATE PROGRAM  
Signature Routing Log

General Information:


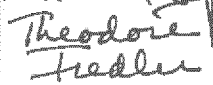
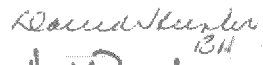

Major Name and Degree Title: Chinese Language and Literature, B.A.

Proposal Contact Person Name: Matthew Wells Phone: 7-1094 Email: Matt.Wells@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Division of Russian & Eastern Studies	11/1/09	Doug Slaymaker / 7-7552 / dslaymak@uky.edu	
MCH Chair	11/1/2009	Theodore Fiedler / 7-4642 / tfiedler	
EPL	2/9/10	David Hunter / 7-7016 / David.Hunter@uky.edu	
A&S Administration	2/4/10	Anna R. K. Bosch / 7-6689 / Bosch@uky.edu	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision <sup>3</sup>
Undergraduate Council	4/13/2010	Sharon Gill <small>Digitally signed by Sharon Gill DN: cn=Sharon Gill, ou=Undergraduate Education, ou=Undergraduate Council, email=sgill@uky.edu, cn=US Date: 2010.04.27 09:53:13 -0400</small>	
Graduate Council			
Health Care Colleges Council			
Senate Council Approval			
		University Senate Approval	

Comments:

\_\_\_\_\_

<sup>3</sup> Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

## **Request for a New Degree Program in Chinese**

The Department of Modern and Classical Languages, Literatures and Cultures has identified the development of a BA/BS program in Chinese (Mandarin or Putonghua 普通話) as a Priority (cf. the MCL Program Review Implementation Plan of 7 May 2009).

Chinese is a new and growing field at the University of Kentucky. Although Chinese language courses at the elementary and intermediate levels were taught prior to 2003-2004, the first full-time faculty member in Chinese language, literature and culture did not join the faculty and begin teaching upper division content courses until Shengqing Wu, a 2004 PhD in modern Chinese Literature and Culture from UCLA, joined the Department as a visiting assistant professor of Chinese in 2004-2005 on a three-year appointment supported by a grant from the Freeman Foundation. Dr. Wu, whose courses were well attended, went on leave during 2005-2006 to accept a prestigious fellowship at Harvard and did not return the following year because of a failure of the College to offer her a regular tenure-track appointment in a timely manner. A temporary replacement did maintain the momentum of the emerging program of instruction, and additional sections of Elementary and Intermediate Chinese were also added. After a second year of unnecessarily failed searches, Mingzhen Bao, a 2008 PhD in Linguistics from the University of Florida, and Liang Luo, a 2006 PhD in modern Chinese Literature and Culture from Harvard, joined the Department in August 2008. In August 2009 Matt Wells, a 2006 PhD in ancient Chinese Literature and Culture, joined the Department on the basis of an external grant that also brought Dr. Denise Ho, a 2009 PhD in Chinese History from Harvard, to the Department of History at the same time. The addition of these four tenure-track faculty members over the past two years along with a well-qualified full-time instructor, Wei Jiang, and several part-time instructors in supporting roles has enabled the instructional program in Chinese to expand to include four years of language and multiple offerings in literature, culture, and history. There is now clearly a critical mass of faculty in place to offer a BA/BS program in Chinese.

The new major will fill a void for students seeking a major in Chinese that emphasizes advanced language acquisition coupled with in-depth cultural studies. In contrast to the single existing option for Chinese-related coursework leading to a degree (the International Studies Major with Thematic and Area Concentration in East, South, and Southeast Asia), the new major mandates advanced Chinese language acquisition through *at least* the Advanced Intermediate level (301-302), encourages Advanced level Chinese (401-402) through courses in modern and classical language, literature, and culture, and combines these with interdisciplinary coursework taught in English focused on different areas of Chinese culture and history instead of a more general perspective on Asia.

In accordance with the specified format for requests for a new degree program, Item I provides a summary explaining the program's contribution to life and work in Kentucky, collaborations with other institutions, and participation in the Kentucky Virtual Campus. Item II provides a comprehensive program description. Item III discusses the resources. And Item IV addresses various program issues as stipulated in "Academic Program Approval Checklist."

### **I: Summary**

#### **How will this program prepare Kentuckians for life and work?**

Interest in China throughout the state and among University of Kentucky students has grown rapidly. No doubt part of the reason is burgeoning economic and cultural ties between



Kentucky and China. According to the Kentucky China Trade Center (肯塔基中国贸易中心), Kentucky exports to China topped US \$600 million in 2008, an increase of over 800% since 2000. Exports to China and Taiwan combined top US \$1 billion. Mainland Chinese students are one of the fastest growing populations of foreign students at the University of Kentucky.

Across the state, these economic realities have been met by a growing interest in Chinese language. Each year about 40 teachers come to Kentucky from China to teach Chinese in Kentucky K-12 schools through an agreement between the Kentucky Department of Education and Hanban, the executive body of the Chinese Language Council International. Other Kentucky universities such as Northern Kentucky University and the University of Louisville already offer Chinese language courses. Moreover, Western Kentucky University recently received a federal grant to explore the creation of a Chinese Flagship Language Institute for Chinese language acquisition, and Eastern Kentucky University is working to offer Chinese language classes in the near future. Given these developments, it is imperative that the University of Kentucky assume a leadership position in providing students with advanced language training and knowledge of the cultural traditions of China while developing a greater awareness of the similarities and differences between Chinese and American culture. The proposed program in Chinese will help satisfy UK's imperative to prepare citizens of the commonwealth to function successfully in life and work in this age of globalization.

The proposed major is revenue neutral and based on current positions at the University drawn from MCL and History. It will also collaborate with faculty in Art History, Philosophy, and Political Science to create additional courses. Its three core tenure-track faculty members are Liang Luo, Mingzhen Bao, and Matthew Wells in MCL. These faculty members offer a diverse spectrum of Chinese language and culture classes, including but not limited to four years of Mandarin Chinese, classical Chinese, literature, linguistics, film, and popular culture. Denise Ho in History will offer a broad range of undergraduate and graduate courses, including surveys of East Asian history, courses on rural and urban society, and post-Revolutionary Chinese history. In a manner that complements and expands these existing options, the new program will emphasize language acquisition by incentivizing four years of language training, together with an approach that integrates a range of disciplinary perspectives including literature, media studies, cultural studies, history, philosophy, art, and linguistics. An undergraduate BA program in Chinese does not currently exist at any public or private university in Kentucky.

The proposed program will prepare students for a variety of postbaccalaureate options, serving as preparation both for graduate training in fields requiring advanced Chinese language competence and for Chinese-related career choices. We anticipate many of our students will embark on teaching careers in secondary and postsecondary levels. It should be emphasized that the Kentucky Education Professional Standards Board requires that a major in Chinese be offered at the University of Kentucky before students with competence in Chinese can be admitted to UK's MA program in Teaching World Languages (MATWL) and thus prepare themselves for certification to teach Chinese in Kentucky schools. This possibility is not currently available at any postsecondary institution in the Commonwealth. There is a growing need for Chinese teachers in the state, a need that we have been unable to respond to. For example, Fayette County schools have recently been awarded a second Foreign Language Assistance Program (FLAP) grant which will allow the school district to expand its Chinese program by one grade level each year and expand the program beyond Tates Creek HS into a second high school next year. The major will allow UK to fulfill its leadership role in certifying teachers for this growing, well-funded language program.

We also anticipate that many graduates will adapt to a variety of career possibilities and procure employment with U.S. companies doing business in China, and eventually Chinese companies located in the United States. It must also be noted that the U.S. State Department regards Chinese as a strategic language. Offering a Chinese major will prepare UK students to serve their country in the 21<sup>st</sup> century in the areas of diplomacy, defense, and intelligence. Should UK students pursue graduate degrees at UK or other institutions, they will be able to build on the broad-based knowledge of Chinese language, literature, and culture and the creativity that this major will foster. Further, the critical thinking and communication skills developed in this program will prepare students for a variety of competitive jobs in public service, nongovernmental/nonprofit organizations, educational enterprises, journalism, publishing, law, translation, missionary work, and tourism both domestically and internationally.

### **Plans for collaborations with other institutions**

The proposed major program will maintain, reinforce, and expand collaborations with other institutions which host scholars and teachers of Chinese language, literature, and culture. For example, the new program will be able to collaborate with universities and colleges around UK such as Berea College, Northern Kentucky University, Eastern Kentucky University, and the University of Louisville in the form of conferences, workshops, symposia, and guest speaker series. We will also be able to work with the growing program at Western Kentucky University to advance Chinese language pedagogy in the state as a whole. We have been in conversation with these institutions about collaborative credit and joint and distance teaching opportunities. The Chinese program will also allow UK faculty to collaborate with many excellent, established Chinese language, literature, and culture programs throughout the Midwest and Southeast including the University of Georgia, The Citadel, University of Florida, Ohio State University, and Indiana University.

The Chinese program will also be able to collaborate and partner with the Confucius Institute, the application for which appears to be on track to be accepted in AY 2009-2010. The Confucius Institute is a program administered by Hanban, the executive body of the Chinese Language Council International. The program partners Chinese universities with foreign institutions to host a Confucius Institute, which promotes language instruction and cultural ties at academic, municipal, and economic levels. A future Hanban Confucius Institute in Lexington would be a natural collaborator with the UK Chinese program and would extend the reach of the program further into the community.

In addition, the new program will work with the University of Kentucky Asia Center in order to reinforce collaborations with institutions of higher education, business communities, local/city/state governments, and academic/nonacademic associations in Kentucky and beyond through workshops, conferences, cultural events, and other activities. Along with the Asia Center, the Chinese program will collaborate on occasional events with the Kentucky Chinese American Association (formerly the Chinese Professionals Association) on campus and in the community.

The new program will also collaborate with the Office of International Affairs to maintain and expand exchange programs with universities in China. Students and faculty will continue to participate in the KIIS consortium for study abroad. Moreover, as the University of Kentucky moves to establish direct links with Shanghai University and Shanghai Foreign Languages University in the near future, our faculty and students will be able to collaborate on research initiatives and engage in intensive language study through semester-long/year-long language and cultural study. The program faculty will expand its collaboration with the

institutions of K-12 education within the state through its active participation in the joint MATWL Program centered in MCL, the Kentucky World Language Festivals, and other educational programs/events.

### **Participation in the Kentucky Virtual Campus**

Affiliated faculty are committed to the dissemination of material across the commonwealth and will actively participate in the Kentucky Virtual Campus by developing online Chinese language courses. Matthew Wells has worked for CET Academic Programs in China, the most widely attended language program by students from the United States, and has taught graduate-level courses on culture and pedagogy for the University of Washington aimed at K-12 educators. He also has extensive experience in online and onsite delivery at Eastern Oregon University, a leader in online education. We anticipate developing a healthy online curriculum to serve the needs of place-bound and nontraditional students to advance educational opportunities across regional and economic boundaries.

## **II: Program Description**

CHI courses have been approved on the form of expedited Gen Ed program changes

### A. University Requirements (See UK Bulletin 2009-2010, pp. 83-87).

#### University program Requirements: 33-43 hours

I. Math: 0-4

II. Foreign Language (completed by Premajor Requirement)

III. Inference-Logic: 3-6

IV: Written Communication: 0-4

V. Oral Communication: 3

VI: Natural Sciences: 6

VII. Social Sciences: 6

VIII. Humanities: 6

IX: Cross-Cultural: 3 (choose a 300+ level Social Science course or CHI 330 or CHI 331)

X: Electives: Electives: 6 (choose two Natural Science courses)

#### Graduation Writing Requirement: 3 hours

### B. College of Arts and Sciences Requirements (See UK Bulletin 2009-2010, pp. 109-112.)

I. Foreign Language (completed by Premajor Requirement)

II. Disciplinary Requirements

a. Natural Science (completed by USP Elective Requirement)

b. Social Science: 3 (partially completed by USP Cross-Cultural Requirement)

c. Humanities (competed by Major Requirements)

III. Laboratory or Field Work: 1

IV: Electives: 6

Any student earning a Bachelor of Science (BS) degree must complete a minimum of 60 hours in natural, physical, mathematical, and computer science. Please note: courses with a CHI prefix are generally not accepted towards fulfilling this 60-hour requirement. Therefore, be sure to keep this requirement in mind as you choose your course work for the requirements in the major. See the complete description of College requirements for a Bachelor of Science degree, including a specific listing of courses applicable to the 60-hour requirement, on page 110

### C. Proposed Major in Chinese.

Pre-Major requirements: 8 credits

#### Pre-Major Requirements:

CHI 201 CHI 202	Total: 8 Credits
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Total number of credit hours for major: 42

#### Chinese Language Core:

CHI 301 CHI 302	Total: 6 Credits
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#### Chinese Culture Core:

CHI 330: Intro to Chinese Culture to 1840 CHI 331: Intro to Chinese Culture since 1840	Total: 6 Credits
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In addition, students must take additional credits in Chinese language, culture, literature, history, art, or other approved areas taken from MCL or other departments to lead to the total credit hours of 42. No more than 15 hours of CHI is permitted from the following. Courses beyond this list may be approved by a faculty advisor.

- Course list:

- Chinese Language:

- CHI 401: Advanced Chinese (3) (pre-requisite: CHI 302, currently taught)

- CHI 402: Advanced Chinese (3) (currently taught)

- CHI 511: Literary Chinese (3) (ready for web transmittal, see response from Sheila)

- CHI 520: Chinese Linguistics (3) (ready for web transmittal)

- CHI 310: Sounds of East Asian Languages (3) (ready for web transmittal)

- Other related courses with the approval of the faculty advisor.

Arts, Literature, and Film:

CHI 320: Gender Politics in Chinese Literature (3) (currently taught)

CHI 321: Introduction to Contemporary Chinese Film (3) (currently taught)

CHI 322: Self and Society in Chinese Culture (3) (ready for web transmittal)

A-H 415G: Topics in Asian Art History\* (3) (currently taught)

Other related courses with the approval of the faculty advisor.

Contemporary Culture and Society:

CHI 430: Popular Culture in Modern China (3) (currently taught)

HIS 355: Non-Western History since 1789\* (3) (currently taught)

HIS 598: The Emergence of Modern China, 1644-Present (3) (currently taught)

Other related courses with the approval of the faculty advisor.

Pre-Modern Culture and Society:

CHI 345: Early Chinese Thought (3) (ready for web transmittal)

CHI 450: Daoism, East and West (3) (ready for web transmittal)

Other related courses with the approval of the faculty advisor.

\*Subtitle of course must clearly indicate a direct focus on China.

Students may take up to 6 elective units drawn from the following list to lead to the total of 42 credits required for the major:

HIS 295: East Asia to 1800 (3) (currently taught)

HIS 296: East Asia since 1800 (3) (currently taught)

HIS 593: East Asia since WWII (3) (currently taught)

AH 310: Studies in Asian Art (3) (currently taught)

TA 584: Asian Theater (3) (currently taught)

GEO 333: Geography of East Asia (3) (currently taught)

MUS 330: Music of the World: Asian Music (3) (currently taught)

PHI 343: Asian Philosophy (3) (currently taught)

PS 419G: The Governments and Politics of East Asia (3) (currently taught)

**Electives: 10-20 hours**

Choose electives to lead to the minimum total of 120 hours required for graduation.

**III: Resources**

As described above, since 2004 the faculty teaching Chinese and Chinese-related courses has grown to include three assistant professors, one full-time instructor, and several part-time instructors in Modern and Classical Languages, Literatures and Cultures and one assistant professor in History. Although Dr. Mingzhen Bao has a 50% appointment in the linguistics

department, her new courses CHI 310 and CHI 520 will be cross-listed in both CHI and LIN so as to serve both departmental efforts. CHI 401 and 402 have currently been taught by her, hence will not add extra course load. This means for a given year her teaching load is 2/2 or CHI 401/310 in the fall and CHI 402/520 in the spring. As all the resources needed to implement and support this major are in place, courses will be offered on a schedule to permit timely completion of the course of study. As language enrollments stabilize, the full-time instructor position, currently held by Ms. Wei Jiang, MAs in Linguistics and Instructional Design, will at some point need to be converted to a lecturer position. Please note that the schedule above does not include four courses submitted separately by Denise Ho in History that will include lower division, upper division, and 500-level offerings.

The program will be evaluated by teaching/course evaluations by the students, research productivity of faculty members, and retention of the majors from the fall of one year to the fall of the next year. Student success will be measured by the scores of the exit language proficiency test to be administered to the graduating majors and by their academic performance in fulfilling Major Requirements. Further, similar to all other units in the College of Arts and Sciences, the proposed major will be subject to periodic internal review and evaluation as required by the governing regulations.

#### **IV: Academic Program Approval Checklist**

##### **01. Are more Kentuckians ready for postsecondary education?**

###### A. Entrance Requirements

1. Test Scores (SAT, ACT).
2. High school GPA
3. Other required discipline knowledge unique to the proposed program: N/A

###### B. Transfer Requirements

1. College transfer GPA
2. Premajor requirement (see **II: Program Description**).

###### C. Recruitment Plans

1. We will ensure success of students coming from high schools by providing them careful and thorough advising throughout their undergraduate careers. We will accomplish this task in collaboration with the professional advisors of the College of Arts and Sciences Central Advising Staff, through the advisor embedded in MCL, and the members of the Chinese Program.
2. Recruitment and marketing strategies to enroll a diverse student population include: a Chinese website; distribution of information of course offerings through brochures and emails; offering of annual gatherings for students interested in Chinese language and Culture; collaborations with on-campus student organizations such as the Chinese Student Association; annual film series; and publication of online newsletter. We will carry out these plans in collaboration with the professional advisors of the College of Arts and Sciences.

##### **02. Are More Students Enrolling?**

###### A. Demand for the program

The number of students enrolled in Chinese language, literature, and culture courses has continued to grow over the last three years. In Spring 2006, 36 students registered for CHI 102 and 9 students enrolled in CHI 202. In Fall 2008, 48 students registered for CHI 101, 18 students enrolled in CHI 201, 5 enrolled in CHI 301, and 5 enrolled in CHI 495G (now CHI 401). In

addition, CHI 320: Gender Politics in Chinese Literature and CHI 321: Intro to Contemporary Chinese Film were added to the curriculum and together enrolled 37 students. In Spring 2009, a new course, A&S 300: Popular Culture in Modern China, enrolled 29 students.

Fall 2009 has seen 56 students enroll in CHI 101, 22 students enroll in CHI 202, 4 enroll in CHI 301 and 5 enroll in CHI 401. In addition, 21 students enrolled in a single new course offering, CHI 330: Intro to Chinese Culture to 1840. We anticipate adding an additional section of CHI 201 in Fall 2010 to accommodate increased enrollments in CHI 101-102 this year. With a full complement of language, literature, and culture faculty, we anticipate that the demand for advanced language courses will continue to grow as lower division language enrollments increase over time.

In contrast to the International Studies major's Thematic and Area Concentration (TAC) option in South, East, and Southeast Asia, the new major in Chinese will focus on advanced Chinese language acquisition by mandating Advanced Intermediate study and incentivizing Advanced study within the curriculum. While the new major may include a course in Chinese for Business and the Professions, it will also emphasize the connection and integration of a range of disciplinary perspectives, including, but not necessarily limited to, literature, film and media studies, cultural studies, geography, history, philosophy, art, and linguistics. In contrast to the International Studies major, the Chinese major will emphasize a clear relationship between coursework and language requirements with in-depth focus on China as a geographic, political, and cultural region while maintaining interdisciplinary breadth.

International Studies must maintain a leadership role in preparing students who are interested in broader interdisciplinary and area knowledge through the East, South, and Southeast Asia Thematic and Area Concentration. But as our enrollments have grown, we have encountered a substantial group of students whose interests lie in advanced language acquisition combined with a cultural studies approach, including those who will embark on teaching careers in secondary and postsecondary schools, government work in China, and graduate school. It needs to be reiterated here that the major in Chinese is required, under Kentucky Education Professional Standards Board guidelines, before UK can admit students with competence in Chinese to the MA program in Teaching World Languages. That is, the major is a prerequisite to preparing language teachers for Kentucky schools. Failure to develop a major would result in UK ceding this ground to other institutions developing language and cultural proficiency programs for K-12 educators.

### B. Detailed Recruitment Plans

In addition to a range of recruitment plans specified in 1-C-2 above, we will implement specific plans to recruit nontraditional students (including minorities and women). As evidenced by class enrollment, there is considerable interest in Chinese among minority and female students on campus. We will reinforce their interest by, for instance, providing brochures in summer (and other) advising sessions to emphasize our welcome to students from diverse backgrounds. We have addressed and will continue to address issues of race and gender in our course offerings and other instructional activities in order to accentuate our openness to students from diverse backgrounds. The presence of the program on campus will also allow us to recruit directly from a growing pool of high school students who will take Chinese in Kentucky public schools. Direct recruitment in the form of campus visits is an advisable and effective recruitment strategy that would position the University of Kentucky as the logical choice for continuing study of Chinese.

### C. EEO plan and status information.

According to the Kentucky Council on Postsecondary Education letter and report to President Lee Todd, dated February 26, 2009, “The status for the University of Kentucky to submit new program proposals during calendar year 2009 is ‘Automatic Eligibility’.”

### **03. Are more students advancing through the system?**

A. Anticipated time-to-graduation for full-time students entering the program: 4 years.

### B. Cooperative/Practicum Experience

Because of the critical nature of experiencing the target culture in a course of study such as this, students in our program will be strongly encouraged to participate in an education abroad program in China during the course of their undergraduate education. This can be satisfied by a number of options already in place: students can enroll in one of the many programs sponsored by the Office of International Affairs or enroll in many of the existing high quality programs that serve other major Chinese programs such as Stanford’s Inter-University Program in Beijing, the International Chinese Language Program in Taiwan, Hopkins-Nanjing Center, and various CET language programs in Beijing, Harbin, and Hangzhou. As the University of Kentucky moves to establish direct links with Shanghai University and Shanghai Foreign Languages University in the near future, our students will soon be able to go to these two universities in Shanghai for summer intensive language study or semester-long/year-long language and cultural study.

### C. Why is UK the right place to offer this program?

An undergraduate major in Chinese does not exist at any public or private university in Kentucky. As the flagship institution, UK is the appropriate place to initiate this program. Creating such a major at UK will contribute to satisfying the imperative of helping our constituents function successfully in this age of globalization. Further, the major will allow UK to prepare teachers for certification by the KY EPSB to teach Chinese in the state of Kentucky.

1. List of Kentucky institutions offering similar or related program at this or other levels:
  - Berea College: offering a Major in Asian Studies and a Minor in Asian Studies
  - Western Kentucky University: currently offering lower division Chinese but seeking to develop a robust language program. Minor in Asian Studies.
  - Northern Kentucky University: offering a major in International Studies with Asian Option.
  - University of Louisville: offering Beginning to Advanced Intermediate (301-302) language. Minor in Chinese and Asian Studies.
  - None of these institutions offer majors in Chinese, nor do they offer the interdisciplinary study of Chinese culture that is part of the proposed program.
2. Transfer Credits:
  - Approved transfer credit may be applied to the Chinese major as permitted by the University’s Residence Requirement which mandates that at least 30 of the last 36 credit hours be earned at the University of Kentucky (see UK bulletin).

### D. Delivery



1. What plans are in place for delivering this program through the Kentucky Virtual Campus or other distance learning technologies?
2. What courses can be offered in a nontraditional mode?

As stated in **I: Summary** above, we will actively participate in the Kentucky Virtual Campus. We are prepared to develop online Chinese courses in accord with need.

#### E. Collaborative Efforts

1. Future proposals must provide evidence of consultation with other programs in the state and either documentation of collaborative agreement or strong argument for why they are not feasible.

An undergraduate major in Chinese does not exist at any public or private university in Kentucky. As noted above, the Chinese faculty has been working with regional universities to explore opportunities for cooperation.

2. Collaborative agreements should define shared use of resources to improve program quality, efficiency, and student placement.

### **04. Are we preparing Kentuckians for life and work?**

#### A. How does the program prepare Kentuckians for life and work?

As stated in **I: Summary** above, in recent years there has been increasing interest in China throughout the state and more recently among University of Kentucky students. This is clearly linked to growing economic and cultural ties between Kentucky and China over the last decade. As China continues to develop, economic interest in Kentucky will continue to grow. For example, the Kentucky China Trade Center mentioned in **I: Summary** will send delegates to observe the Alltech FEI World Equestrian Games in 2010 with an eye toward developing China's equine-related industries. Coupled with this are manifold economic interactions and cultural exchanges with China that have occurred in Kentucky in connection with activities at the national and international levels. These local developments make it imperative that UK assume a leadership position in increasing the level of awareness, knowledge, and skills of the language and culture of China in the students and citizens of the Commonwealth and in helping them function successfully in life and work in this age of globalization. The new program in Chinese will help satisfy this imperative.

#### B. What are accreditation expectations for this program?

An accreditation system does not exist for this proposed BA/Bs program. Nonetheless, the new program will reinforce the department's recognition within the state and beyond for its strong commitment to research, teaching, and service activities.

#### C. Are there licensure, certification, or accreditation requirements for graduates of this program?

This major will make it possible for our MATWL program to offer a Chinese track. This will allow students to certification in order to teach in Kentucky schools. To obtain this license, students must complete four years (8 semesters) of language courses with, in principle, the minimum grade of B or above.

D. What are the projected degree completions?

Initially, we anticipate five to ten completions per year. These numbers may be smaller than those established as ideal, but in a program of this sort such numbers are justified because the program will continue to serve as a campus-wide catalyst for intellectual dialogues among students and faculty members with interdisciplinary China and Asia related interests.

**05. Are Kentucky's communities and economy benefiting?**

A. Describe external advisory groups involved in the development of this program.

The Chinese faculty has already established solid ties with Linguistics, English, History, Women's Studies, Social Theory, International Studies, Music, Fine Arts, Education, Geography, among others. Our faculty members have contributed to graduate and undergraduate education in fields as diverse as history, journalism, and ethnomusicology. We have also worked closely with the University of Kentucky Asia Center advisory board which includes representatives from many disciplines and the Fayette County School District.

B. What are employment expectations for graduates? Document the contributions of the program to current workforce needs in the state.

C. What are other benefits to the Kentucky's community and will the program provide?

D. Explain specific benefits of the program.

As stated in **I: Summary** above, the proposed program will prepare students for a variety of postbaccalaureate options, serving as preparation both for graduate studies and for China-related careers. As noted above, we envision students who will embark in teaching careers in secondary and postsecondary schools and have outlined the necessity of this BA for those goals. We anticipate as well that many graduates will adapt to a variety of career possibilities and procure employment with American firms doing business in China and governmental and non-governmental institutions. Should they pursue graduate degrees at UK or other institutions, they will be able to build on the broad-based knowledge of Chinese language and culture and the creativity that this major will foster. Further, the critical thinking and communication skills developed in this program will prepare students for a variety of competitive jobs in, for instance, governmental/public service, nongovernmental/nonprofit organizations, educational enterprises, journalism, publishing, law, translation, missionary, and tourism both domestically and internationally.

Benchmark institutions	Chinese Major or Equivalent (with 4-years of language) Yes or no	Department
Michigan State University	Yes	Department of Linguistics and Germanic, Slavic, Asian, and African Languages.
North Carolina State	No (minor)	Department of Foreign Languages and Literatures
Ohio State University	Yes	Department of East Asian Languages and Literatures
Penn State	Yes	Asian Studies Program
Purdue	Yes	Department of Foreign Languages and Literatures
Texas A&M	no	
University of Arizona	Yes	East Asian Studies
UCLA	Yes	Asian Languages and Cultures
University of Florida	Yes	Department of African and Asian Languages and Literatures
University of Georgia	Yes	Comparative Literature
University of Illinois Urbana Champaign	Yes	East Asian Languages and Cultures
University of Iowa	Yes	Asian and Slavic Languages and Literature
University of Maryland	Yes	Department of Asian and East European Languages and Cultures
University of Minnesota	Yes	Asian Languages and Literatures
UNC-Chapel Hill	Yes	Major in Asian Studies with concentration
University of Virginia	Yes	Major East Asian Studies Major with Concentration In Japanese
University of Washington	Yes	East Asian Languages and Cultures
University of Wisconsin	Yes	East Asian Languages and Literatures
University of Oregon	Yes	East Asian Languages and Literatures

## Curriculum Map for Chinese Major

Year 1: Fall  <u>CHI 101</u> (4) ENG 104 (4) USP Math (3) <u>HIS 295</u> (3)  14 credits	Year 1: Spring  <u>CHI 102</u> (4) PHI 120 (3) USP NS (3) USP HU (3) <u>HIS 296</u> (3)  16 credits
Year 2: Fall  <u>CHI 201</u> (4) STA 200 (3) USP NS (3) <u>CHI 330</u> (3) (USP Cross-Cultural) <u>CHI 321</u> (3)  16 credits	Year 2: Spring  <u>CHI 202</u> (4) USP SS (3) USP HU (3) <u>CHI 331</u> (3) (USP Cross-Cultural) CHI 322 (3)  16 credits
Year 3: Fall  A&S NS (3) <u>A&amp;S HU</u> (3) USP SS (3) <u>CHI 320</u> (3) <u>CHI 301</u> (3)  15 credits	Year 3: Spring  A&S SS (3) Elective (3) Elective (3) A&S NS (3) <u>CHI 302</u> (3)  15 credits
Year 4: Fall  <u>A&amp;S HU</u> (3) A&S SS (3) A&S Lab (1) <u>CHI 401</u> (3) <u>CHI 430</u> (3) Elective (3)  16 Credit Hours	Year 4: Spring  Elective (3) at 300 level Elective (3) Elective (3) <u>CHI 402</u> (3) <u>CHI 511</u> (3)  15 Credit Hours Overall: 123

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## Faculty Resources for these courses

In short, existing faculty are available to teach all of these courses within their standard teaching rotations. The PTIs needed are in keeping with those of recent years.

## Fall '10

## MCL courses

CHI 101 x 3 (Jiang)  
 CHI 201 x 2 (Wells+ PTI)  
 CHI 301 (PTI)  
 CHI 401 (Bao)  
 CHI 330 (Wells)  
 CHI 321 (Luo)  
 CHI 320 (Luo)  
 CHI 310 (Bao) (ready)

## Spring '11

CHI 102 x 2 (Jiang)  
 CHI 202 x 2 (Luo+Jiang/PTI)  
 CHI 302 (PTI)  
 CHI 402 (Bao)  
 CHI 331 (Luo)  
 CHI 322 (Wells) (ready for web transmittal)  
 CHI 450 (Wells) (ready)  
 CHI 520 (Bao) (ready)

## Courses in other departments

HIS 295 (Takenaka)  
 HIS 598 (Ho)

HIS 296 (Ho)  
 A-H 310 (Maske)

## Fall '11

## MCL courses

CHI 101 x 3 (Jiang)  
 CHI 201 x 2 (Wells+PTI)  
 CHI 301 (PTI)  
 CHI 401 (Bao)  
 CHI 330 (Wells)  
 CHI 430 (Luo)  
 CHI 320 (Luo)  
 CHI 310 (Bao) (ready)

## Spring '12

CHI 102 x 2 (Jiang)  
 CHI 202 x 2 (Luo+Jiang/PTI)  
 CHI 302 (PTI)  
 CHI 402 (Bao)  
 CHI 331 (Luo)  
 CHI 345 (Wells) (ready)  
 CHI 511 (Wells) (ready)  
 CHI 520 (Bao) (ready)

## Courses in other departments

HIS 295 (Takenaka)  
 HIS 355 (Ho)  
 A-H 310 (Maske)

HIS 296 (Ho)  
 HIS 598 (Ho)

All other courses are currently taught or else already taught under the heading of A&S 300 (e.g., CHI 450 and CHI 322).

Dear Dan,

Thank you so much for your call this afternoon. It helped us tremendously in clarifying many of the questions raised below.

Re: Major Proposal

1. What is the status of the proposed courses?

**From:** Brothers, Sheila C  
**Sent:** Thursday, April 14, 2011 10:20 AM  
**To:** Wermeling, Daniel  
**Cc:** Wells, Matthew V; Luo, Liang; Bosch, Anna; Hanson, Roxie  
**Subject:** RE: New Cmte Item\_New BA Chinese Language and Literature

I can help with the courses question. The courses below are ready for a web transmittal (and attached as one PDF) – the web transmittal will be posted in the next few days. In other words, they aren't approved yet, but I do not see any problems with them.

CHI 310  
 CHI 322  
 CHI 345  
 CHI 450  
 CHI 511  
 CHI 520 (specify in the proposal)

HIS 597 will be removed from all corresponding places in the document (edit proposal)

All other courses are currently taught (specify in the proposal)

2. Please verify the faculty and instructor resources. One concern is with the commitment of Dr. Bao given her 50% effort to another department versus the proposed 4 courses in the instructional sequence for the next 2 semesters.

If you are asking about CHI 310xLIN and 520xLIN, these are cross-listed so as to serve both departmental 50% efforts.

If you are asking about CHI 401/402, these are currently taught by her.

This means for a given year her teaching load is 2/2 or CHI 401/310 in fall and CHI 402/520 in spring.

3. Does the course teach Mandarin or Cantonese?

The major is Chinese but the dialect is Mandarin as with all other US Chinese programs (specify Mandarin in the proposal).

4. Pages 4 and 5 need to be revised to account for Gen Ed requirements that are in effect for Fall 2011 and to have courses coordinate with the University Bulletin (2009 version).

**From:** Brothers, Sheila C  
**Sent:** Monday, April 18, 2011 9:08 AM  
**Subject:** Approved Expedited Gen Ed Pgm Changes (CHI Gen Ed included will forward if you need the email.)

Hello! Please find attached the first round of approved expedited Gen Ed program changes. If you encounter any problems with these, please email me and let me know. Sheila

Specify in the proposal that CHI courses have been approved on the form of expedited Gen Ed program changes.

5. On pages 5 and 6 it is unclear how many credits are applicable. On page 5 there is a statement that 18-30 credits must be taken. However, it might be 30 in all if you count backwards from the required elements. On page 6 there is a reference of 3-12 credits from an additional list. How these link and reach the required sums was unclear to the committee.

Credit issue was clarified with correspondence to Sheila Brothers earlier. See following:

-----Original Message-----

From: Wells, Matthew V

Sent: Tuesday, April 05, 2011 1:48 PM

To: Brothers, Sheila C

Cc: Mullen, Michael D; Swanson, Hollie; Bosch, Anna; Hanson, Roxie

Subject: RE: Chinese BA/BS, CHI 310 & CHI 405

Dear Sheila,

Below and attached are answers to the issues you raise. Thanks for your help! Please note that I have attached for your convenience the separate files that were part of the original PDF, which should make finding answers to these questions much easier!

Cheers!

Matt

4. Q#7 – the form states that the core requirements range from 24-30 credits (for a total of 36 – 42, once you take the language and culture cores), but Q#13b notes that there are 42 credits required. Please clarify this discrepancy.

ANSWER: There is no discrepancy, but for the sake of expediency, please change the phrase, "In addition, students must take 24-30 credits" to "In addition, students must take additional credits". (Please note that in the original language, one must take the core (12 credits), 24-30 from one list, and then 0-6 from the other for a total of 42 credits. The goal is to provide students with flexibility regarding the courses they choose to take.)

The committee made a motion to approve the Major pending submission of clarifications and a revised document as necessary. Your responses and a revised document can be forwarded to me.

## Brothers, Sheila C

---

**From:** Wells, Matthew V  
**Sent:** Tuesday, April 19, 2011 1:50 PM  
**To:** Wermeling, Daniel; Brothers, Sheila C  
**Cc:** Luo, Liang; Bosch, Anna; Hanson, Roxie; Fiedler, Theodore  
**Subject:** RE: New Cmte Item\_New BA Chinese Language and Literature  
**Attachments:** Doc\_1\_CHI\_UG\_BAnew.doc; Doc\_2\_CHI\_UG\_classify-1.doc; Doc\_3\_CHI Major updated 041911.doc; Doc\_4\_CHI Minor updated 041811.doc; Doc\_5\_UG Pgm GE CHANGE ONLY AS MCL CHI BA-BS.pdf; Doc\_6\_UG Pgm GE CHANGE ONLY AS MCL CHI BA-BS.doc; Doc\_7\_CHI Major and Minor responses.doc

Dear Dan,

Prof. Luo and I would like to thank you again for meeting with us by phone along with Roxie to help us work through the revisions. As Prof. Luo and I are new here, we appreciate the chance to work with senior faculty to understand the submission and review process.

Attached are the documents that we hope will satisfy the committee's needs at this time. Please note that in some cases we have included our revisions in red to highlight the changes requested by your committee. This can easily be changed to black by yourself or another member of the committee, or I am happy to resend the documents to you with the changes un-highlighted.

The attachments are:

Doc 1. Request for New Undergraduate Program (form) Doc 2. Request to Classify Proposed Program (form) Doc 3. Chinese Major proposal (narrative) Doc 4. Chinese Minor proposal (narrative) Doc 5. Undergraduate Program Gen Ed change form, approved for all Arts and Sciences programs (pdf form) Doc 6. Copy of Item 5 in Word format Doc 7. A complete list of the questions from your committee along with our responses as we discussed them on the phone on 4/18, 1:30pm.

Please let me know if you need anything else from us at this time. We're looking forward to hearing back from you soon.

Best wishes,

Matthew Wells and Liang Luo

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Matthew Wells  
 Assistant Professor of Chinese  
 Department of Modern and Classical Languages, Literatures, and Cultures  
 Email: [matt.wells@uky.edu](mailto:matt.wells@uky.edu)  
 Phone: (859) 257-1094  
 Mail: University of Kentucky  
 1035 Patterson Office Tower  
 Lexington, KY 40506-0027





Office of the Interim Dean  
College of Medicine  
138 Leader Avenue, Room 241  
Lexington, KY 40506-9983  
859 323-6582  
859 323-5567  
*fax* 859 323-2039  
[www.uky.edu](http://www.uky.edu)

February 16, 2011

Dear Members of the University Senate and Health Care Colleges Council,

Attached to this letter is a Numeric Grading plan originally proposed by medical students currently enrolled within the College of Medicine. The medical students presented this plan to the College of Medicine Curriculum Committee, where it was then referred to the Student Progress and Promotions Committee and was unanimously approved. From SPPC it was referred to the First and Second Year Course Director Committee as well as the Third and Fourth Year Course Director Committee and ultimately back to the Curriculum Committee. These three faculty committees also unanimously endorsed and approved the Numeric Grading proposal. The proposal was then considered and approved by Faculty Council, representing the fifth faculty committee to give unanimous support to this student proposal.

I wish to convey my full support and approval and ask for your consideration of this proposal at your earliest convenience. This proposal has been widely vetted in the College of Medicine and has broad support among both faculty and students. Please contact me if you have any questions, thank you.

Sincerely,

A handwritten signature in black ink, appearing to read "Emery Wilson".

Emery Wilson, MD  
Interim/Dean  
College of Medicine  
138 Leader Avenue  
Lexington, KY 40506-9983

**Brothers, Sheila C**

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**From:** Jennings, Chester D.  
**Sent:** Friday, April 01, 2011 11:35 AM  
**To:** Brothers, Sheila C  
**Cc:** Swanson, Hollie; Hager, Jacquie; Griffith, Charles H; Hartmann, Beth A; Prince, Tonya; Jennings, Chester D.  
**Subject:** RE: Proposed Numeric Grading Plan for COM

Yes Sheila, all three statements below are correct. Our registrar does not recall a non-medical student taking one of the 800 level medical school courses since she has been here, so items #2 and #3 will be very rarely invoked, but are correct should the need arise.

CDJ

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**From:** Brothers, Sheila C  
**Sent:** Friday, April 01, 2011 10:31 AM  
**To:** Jennings, Chester D.  
**Cc:** Swanson, Hollie; Hager, Jacquie; Griffith, Charles H; Hartmann, Beth A; Prince, Tonya  
**Subject:** RE: Proposed Numeric Grading Plan for COM

Thank you! Just to make sure we are all perfectly clear on the intent of the proposal for numeric grading, can you please confirm that my three statements below are correct? (This thread will be added to the proposal for clarity.)

1. The only COM courses that will have a numeric grading system will be 800- and 900-level courses offered by COM.
2. If a COM graduate student is enrolled in an 800- or 900-level COM course, the faculty member will offer a *numeric* grade to the COM medical student, and a *letter* grade to the COM graduate student.
3. In the event that someone from outside COM takes an 800- or 900-level COM course, the non-COM student will receive a letter grade.

Tonya, please let me know if you foresee any problems with this proposal.

Thank you,  
 Sheila

Staff Representative to the Board of Trustees  
 Office of the Senate Council  
 Phone: (859) 257-5872

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**From:** Jennings, Chester D.  
**Sent:** Friday, April 01, 2011 9:59 AM  
**To:** Brothers, Sheila C  
**Cc:** Swanson, Hollie; Hager, Jacquie; Griffith, Charles H; Hartmann, Beth A  
**Subject:** RE: Proposed Numeric Grading Plan for COM

Sheila,

Thank you for your efforts on this proposal. The change to numeric grading is intended to affect all professional students (medical) in the College. It is not intended to affect graduate students. Consequently it would apply to all medical student professional courses except those that are designated Pass/Fail obviously. To the best of our knowledge, none of our courses are cross-listed with other colleges, but some of the professional courses are

cross-listed as graduate courses within the College of Medicine. When this happens the course carries an MD prefix for the professional student and a departmental prefix for the graduate student. Professional students would receive the numeric grade while graduate students would receive the letter grade. The COM registrar handles all professional student grades, while graduate student grades are routed through the department and graduate school so there is a natural split in these two groups. The COM registrar does not see a problem in handling this split of professional/graduate students within the College. We have contacted the registrar's office, I believe Jacquie was one of the contacts, and confirmed that the numeric grading is possible on transcripts. Please contact me if you need additional information. Again thanks very much.  
CDJ

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**From:** Brothers, Sheila C  
**Sent:** Thursday, March 31, 2011 9:01 PM  
**To:** Jennings, Chester D.  
**Cc:** Swanson, Hollie; Hager, Jacquie  
**Subject:** Proposed Numeric Grading Plan for COM

Hello, Darrell. I have a few questions regarding the proposal for numeric grading in the College of Medicine. This can go to committee very soon.

Will the proposed change to numeric grading affect every course in COM? Is any COM course cross-listed with a course in another college? Has the Registrar's office been contacted/consulted, and numeric grading is possible on transcripts, etc.?

Thank you,  
Sheila

**COLLEGE OF MEDICINE FACULTY COUNCIL  
MEETING MINUTES**

**Tuesday, February 15, 2011  
Leader Avenue, Conference Room**

Members in Attendance

Drs. Curry, Feddock, Geddes, Jackson, Jones, Peterson, Schoenberg, Springer

Members Absent

Drs. Ambati, Ballard, Cambi, Fahy, Telling

Guests

Dr. Carol Elam, Dr. Chipper Griffith, Dr. Darrell Jennings

- The meeting was called to order at 5:02 PM
- The minutes from the January 18, 2011 Faculty Council meeting were approved with one minor revision (paragraph 1; “biochemistry” should be substituted for “microbiology” professor)
- Dr. Carol Elam presented an overview of the College of Medicine Admissions Committee activities. The number of applications remains high and the academic credentials (MCAT scores; GPA) of each entering class continue to rise. UK College of Medicine is still an attractive option for out-of-state students despite the fact that tuition is higher than many of our benchmarks. The committee has adopted a number of innovations including Share-point access to student application files and electronic (SRS) voting. Dr. Elam made an appeal for more faculty involvement in the interview process.
- Dr. Chipper Griffith presented a proposal to replace the current letter grade system for medical students with a numeric system. This system is already in place in many medical schools; it provides a more accurate indication of class rank and therefore will be of particular benefit to students for residency applications. The proposal was approved unanimously.
- Dr. Darrell Jennings presented a proposal for a new fourth year elective course, MED 867: Patient Safety and Systems Analysis. The proposal was approved unanimously.
- Dr. Jackson reported on a meeting that he and Dr. Fahy attended with the Title Series Assessments and Recommendations Task Force which had been charged with reviewing the current faculty title-series structure in place within the College of Medicine. Given the current economic climate the Task Force has elected to focus exclusively on the Clinical Title Series (CTS). An open invitation to all future meetings has been extended to Faculty Council

members as we continue to address the issue of percent CTS faculty relative to tenure-track title series faculty within the college.

- Dr. Jones presented a proposal to modify the rules governing membership of the College of Medicine Admissions Committee, in order to add flexibility to the current requirement that this committee should include a Faculty council member. Lacking quorum at this point, no vote was taken.
- The meeting was adjourned at 6:15 PM.

## NUMERIC GRADING PROPOSAL

**Proposal:** Replace our current letter grade system with a numeric system, still retaining course director determination of the numeric grade below which constitutes failure, to be instituted for the incoming first year class this Fall, the Class of 2015 (Example: students will no longer receive As or Bs or Cs in courses, merely an 88 or 91. Each course may designate the number which would constitute a U or E grade however, so below a 70 may be a number chosen by some courses as unsatisfactory performance).

### Pros

1. **High Bs (or Cs) would not have such a large effect on class rank.** In our current system, we have many students who consistently make high Bs, but have a much lower class rank than those who consistently score maybe a point or two higher in courses, but get the low As. The difference can be that of first versus fourth quartile even, given our median GPA near 3.5. It seems wrong for a student with an average of 89 to be in the 4<sup>th</sup> quartile when one with consistent 90s is in the 1<sup>st</sup> quartile, given the emphasis on class rank in many residency programs.
2. **Student disagreement with faculty about grades would lessen, and this would improve the learning environment, and improve faculty-student relationships.** In general, faculty-student relationships are good. However, since a point can make the difference between an A or B, students fight for points, argue even, resulting in sometimes tense relationships. If a point makes no large difference in GPA, these disagreements or arguments would disappear, further improving faculty-student relationships, and therefore improving the overall learning environment. It is conceivable that the Student Liaison Committees would be obsolete, as challenges about questions would not be so paramount for some students, if one question did not change class rank so much. A corollary to this is that faculty time pressures would be lessened, not having to spend time with grade appeals and question challenges.
3. **Students would learn each courses material to the full extent they can, something they don't do now.** Students readily admit they "game" the system on end-of-course exams, such that if a student has a safe B in histology, but no chance for an A, they will study mainly anatomy, if that is the class they have the most chance to change the letter grade in. But this would, in this example, result in inferior learning of histology. If students simply get a numeric value, the incentive is to score as well as they can on all exams, and learn all material equally well.
4. **The SPPC already focuses on numeric values.** The SPPC already is more concerned about students with a 71, near U, than a 79, near B.
5. **Course directors retain the ability to determine unsatisfactory performance.** In a pure numeric system, there is simply a numeric average, no determination of pass/fail threshold. This proposal retains course director authority to determine unsatisfactory performance.

### Cons

1. **Some compulsive students will argue about points even more (i.e. demand a 95 versus a 94).**  
This is possible. However, it's much less stressful for a course director to dismiss a request of 95 versus 94 (since really, they are both great scores, are any of us really 95s?) than it is to assign an 89, B, versus 90, A, knowing the great difference in GPA this makes.
2. **Decisions for promotion for the SPPC will be more complicated, without the "hard" rules of marginal versus unsatisfactory GPA.** This is true, but the decisions will be even more complex with the addition of the subject exams anyway (the situation of the student with Cs in courses but above national average subject exam scores). The SPPC will need to consider how best to determine lines of marginal performance (i.e. the student who does not fail a course, but scores low C across many courses; the SPPC may determine that, say, an average of 72 across courses requires repeating, even though all classes may have been marginally passed)

**Lindsay, Jim D.**

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**From:** Jennings, Chester D.  
**Sent:** Thursday, February 17, 2011 1:58 PM  
**To:** Lindsay, Jim D.  
**Cc:** Tauffener, Brandi L; Griffith, Charles H  
**Subject:** RE:

We came to the same conclusion. Thanks! Any help in moving this along is appreciated!  
 CDJ

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**From:** Lindsay, Jim D.  
**Sent:** Wednesday, February 16, 2011 5:29 PM  
**To:** Jennings, Chester D.  
**Subject:** RE:

Hi Darrell...

It appears that this will indeed require the Senate Council approval as it will be a change in Senate Rules.

Thanks,

Jim

**Jim Lindsay**  
 Health Care Colleges Council Coordinator  
 Associate Provost for Faculty Affairs Office  
 University of Kentucky, 205 Frazee Hall  
 Lexington, KY 40506-0031 Ph. (859) 323.6638  
[www.uky.edu/Provost/AcademicCouncil/council.php](http://www.uky.edu/Provost/AcademicCouncil/council.php)

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**From:** Jones, Davy  
**Sent:** Wednesday, February 16, 2011 1:51 PM  
**To:** Jennings, Chester D.  
**Cc:** Griffith, Charles H; Tauffener, Brandi L; Lindsay, Jim D.  
**Subject:** RE:

Darrell,

The view of the University Senate is that it has a responsibility to ensure quality control University-wide on the educational policies of programs concerning grades. E.g., that a faculty in a program don't degrade standards with a policy that 'in our program, we abolish the grade of E so that none of our students will fail.' In that context, the University Senate Rules provide a University-wide grade policy, and then contains in those Rules the provisions under which specific colleges have been granted exceptions to those Rules. The grade system that the College of Medicine in 1986 requested 'exception' provision to use are on pages 111-112 of the University Senate Rules, at this link:

[http://www.uky.edu/Faculty/Senate/rules\\_regulations/Rules%20Versions/MASTER%20RULES%20from%20September%202009\\_clean.pdf](http://www.uky.edu/Faculty/Senate/rules_regulations/Rules%20Versions/MASTER%20RULES%20from%20September%202009_clean.pdf)

Davy

**Cc:** Senate Rules and Elections Committee



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**From:** Jennings, Chester D.  
**Sent:** Wednesday, February 16, 2011 1:41 PM  
**To:** Jones, Davy  
**Cc:** Griffith, Charles H; Tauffener, Brandi L; Lindsay, Jim D.  
**Subject:**

Davey,

Can you send me the reference or relevant section from the senate rules from 1986 regarding College of MEdicine grading policy to which you referred yesterday. I have forwarded the grading policy change document and the Dean's cover letter of approval on to Jim Lindsay with the HCCC and he would like to look at the section you quoted. Also, do you know, is there a specific senate rule delineating the grading policy for each individual college? Jim and I were not sure about that either? Thanks!

CDJ

**Lindsay, Jim D.**

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**From:** Jennings, Chester D.  
**Sent:** Monday, February 21, 2011 10:11 AM  
**To:** Jones, Davy  
**Cc:** Griffith, Charles H; Tauffener, Brandi L; Lindsay, Jim D.; Ambati, Jayakrishna; Ballard, Hubert O; Cambi, Franca; Curry, Thomas E; Feddock, Christopher A; Geddes, James; Jackson, Brian A; Peterson, Martha L; Schoenberg, Nancy E; Springer, Joe E; Telling, Glenn  
**Subject:** RE: New COM Grading System

Thanks! This should help us move this along more efficiently. Jim, is it appropriate to give this committee a heads up as HCCC considers the proposal?

CDJ

---

**From:** Jones, Davy  
**Sent:** Friday, February 18, 2011 9:17 AM  
**To:** Jennings, Chester D.  
**Cc:** Griffith, Charles H; Tauffener, Brandi L; Lindsay, Jim D.; Ambati, Jayakrishna; Ballard, Hubert O; Cambi, Franca; Curry, Thomas E; Feddock, Christopher A; Geddes, James; Jackson, Brian A; Peterson, Martha L; Schoenberg, Nancy E; Springer, Joe E; Telling, Glenn  
**Subject:** RE: New COM Grading System

**Darrell and Chipper,**

**As more background info for you, it is likely that above the level of the HCCC, it will be the Senate Admissions and Academic Standards Committee that will review, just prior to the Senate, a proposal to change the grading system. Here is a link to that committee, and you can see it has on its plate this year a proposal from Pharmacy for a new type of grade.**

**[http://www.uky.edu/Faculty/Senate/committees\\_councils/standing\\_committees/admissions\\_academic\\_standards.htm](http://www.uky.edu/Faculty/Senate/committees_councils/standing_committees/admissions_academic_standards.htm)**

**Davy**

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**From:** Jennings, Chester D.  
**Sent:** Wednesday, February 16, 2011 1:41 PM  
**To:** Jones, Davy  
**Cc:** Griffith, Charles H; Tauffener, Brandi L; Lindsay, Jim D.  
**Subject:**

Davey,

Can you send me the reference or relevant section from the senate rules from 1986 regarding College of MEdicine grading policy to which you referred yesterday. I have forwarded the grading policy change document and the Dean's cover letter of approval on to Jim Lindsay with the HCCC and he would like to look at the section you quoted. Also, do you know, is there a specific senate rule delineating the grading policy for each individual college? Jim and I were not sure about that either? Thanks!

CDJ

## Brothers, Sheila C

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**From:** Denison, Dwight V  
**Sent:** Wednesday, April 27, 2011 5:19 PM  
**To:** Brothers, Sheila C; Jones, Raleigh  
**Cc:** Swanson, Hollie  
**Subject:** FW: New Department of Otolaryngology- Approved  
**Attachments:** Addendum to Department of Otolaryngology proposal.pdf

Sheila,

The SAOSC has voted to approve the proposed new department of Otolaryngology- Head and Neck Surgery with the inclusion of the attached addendum. The addendum contains the information the committee requested in reviewing the proposal. Please update the proposal before it goes to the SC.

Thanks.

Dwight

Dwight V. Denison, PhD  
 Professor of Public and Nonprofit Finance  
 Director of Graduate Studies, MPA and MPP programs  
 Martin School of Public Policy and Administration  
 University of Kentucky  
 415 Patterson Office Tower  
 Lexington KY 40506  
 Email: [dwight.denison@uky.edu](mailto:dwight.denison@uky.edu)  
 Phone: 859.257.5742

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**From:** Denison, Dwight V  
**Sent:** Wednesday, April 27, 2011 4:50 PM  
**To:** Denison, Dwight V; 'Bill Smith'; Debski, Elizabeth A; Ederington, Josh; Farrell III, Herman D; Jasper, Samuel J; Lee, Brian D; Maynard, Leigh; Saatman, Kathryn; Scutchfield, Douglas  
**Subject:** New Department of Otolaryngology- Approved

Please note that we will not have a SAOSC committee meeting on May 2.

We have 8 votes in favor of approving the proposal for the Department of Otolaryngology; one abstain, and one non response. I will forward the proposal to the Senate Council with our committee's approval to be discussed at the Senate Council meeting on May 2. The proposal document going to the Senate Council will have the addendum and a recently received letter of support from Dentistry that Dr. Jones facilitated at our request. I appreciate your time and attention to this proposal.

Dwight V. Denison, PhD  
 SAOSC committee chair

Professor of Public and Nonprofit Finance  
 Director of Graduate Studies, MPA and MPP programs  
 Martin School of Public Policy and Administration  
 University of Kentucky  
 415 Patterson Office Tower  
 Lexington KY 40506  
 Email: [dwight.denison@uky.edu](mailto:dwight.denison@uky.edu)  
 Phone: 859.257.5742

# Proposal to Create New "Department of Otolaryngology - Head and Neck Surgery"

## UNIVERSITY SENATE ROUTING LOG

**Proposal Title:** Proposal to Create the Department of Otolaryngology - Head and Neck Surgery  
**Name/email/phone for proposal contact:** Raleigh Jones, MD 7-5097, Emery Wilson, MD 3-6582

**Instruction:** To facilitate the processing of this proposal please identify the groups or individuals reviewing the proposal, identify a contact person for each entry, provide the consequences of the review (specifically, approval, rejection, no decision and vote outcome, if any) and please attach a copy of any report or memorandum developed with comments on this proposal.

Reviewed by: (Chairs, Directors, Faculty Groups, Faculty Councils, Committees, etc)	Contact person Name (phone/email)	Consequences of Review:	Date of Proposal Review	Review Summary Attached? (yes or no) <small>Yes (letter of support)</small>
COM Faculty Council	Brenda Fahy, MD	Approved	12/21/2010	
HCCC	<i>Brenda Fahy</i>	Approved	2/15/2011	

## Brothers, Sheila C

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**From:** Jones, Raleigh  
**Sent:** Monday, April 04, 2011 6:36 PM  
**To:** Brothers, Sheila C; Denison, Dwight V  
**Cc:** Swanson, Hollie  
**Subject:** RE: New Cmte Items\_New Department of Otolaryngology

Name of the new Department will be the Department of Otolaryngology-Head and Neck Surgery. This is consistent with our national organization -- The American Academy of Otolaryngology - Head and Neck Surgery.

If there are any other questions, please don't hesitate to ask.

Raleigh

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**From:** Brothers, Sheila C  
**Sent:** Friday, April 01, 2011 1:56 PM  
**To:** Denison, Dwight V  
**Cc:** Jones, Raleigh; Swanson, Hollie  
**Subject:** New Cmte Items\_New Department of Otolaryngology

Good afternoon, Dwight. The Senate's Academic Programs Committee has one new proposal to review. It is attached here and also posted at

[http://www.uky.edu/Faculty/Senate/committees\\_councils/standing\\_committees/academic\\_programs.htm](http://www.uky.edu/Faculty/Senate/committees_councils/standing_committees/academic_programs.htm)

### 1. Proposed New Department of Otolaryngology

Raleigh Jones is the contact person for this proposal. I have tentatively placed this on the SC agenda for April 25, and the Senate agenda for May 2. Therefore, I will need your committee's review by Tuesday, April 19.

*Dwight, the proposal refers to both a "Department of Otolaryngology" and a "Department of Otolaryngology – Head and Neck Surgery." During your deliberations, can you query Raleigh and identify the proper name in your minutes (if approved)?*

If you have any questions, or need any assistance, please don't hesitate to ask!

Sheila

*Sheila Brothers  
 Staff Representative to the Board of Trustees  
 Office of the Senate Council  
 203E Main Building, -0032  
 Phone: (859) 257-5872  
<http://www.uky.edu/faculty/senate>*

**UK College of Medicine**  
 Evaluation of the Division of Otolaryngology  
 October 27, 2010

On August 18, 2010 Dean Emery Wilson appointed a committee to evaluate the strengths and weaknesses of the Otolaryngology program, suggest strategies to improve the program and recommend whether or not Otolaryngology should remain a division of surgery or become an independent department. D. Kay Clawson, MD Consultant to the Dean, UK College of Medicine Chairman. Paul Bachner, MD, Chairman, Department of Pathology, College of Medicine; Richard Janeway, MD, Executive Vice President Emeritus, Wake Forest Baptist Medical Center and Brad Welling, MD The Ohio State University Department of Otolaryngology – Head & Neck Surgery Eye and Ear Institute. (see Appendix I, charge and biographies of committee)

The committee met on Wednesday, October 27, 2010 in the College of Medicine with the following University of Kentucky faculty and administrators.

Provost Kumble Subbaswamy, PhD, University of Kentucky

Michael Karpf, MD  
 Executive Vice President for Health Affairs, UK HealthCare Enterprise

Raleigh Jones, MD, FACS, Professor and Chief  
 Otolaryngology-Head and Neck Surgery

Timothy J. Shuck  
 Administrative Director Department of Surgery

Richard P Lofgren, MD, MPH  
 VP for HealthCare Operations and CCO, UK HealthCare Enterprise

Susan McDowell, MD, Assistant Dean/DIO GME and  
 Associate Professor, Preventative Medicine and Rehabilitation

Byron Young, MD, Professor of Neurosurgery  
 Director of Kentucky Neuroscience Institute

In addition the panel reviewed the proposal from Dr. Raleigh Jones for the creation of a Department of Otolaryngology-Head and Neck Surgery (Appendix II). The financials for the past five-ten years prepared by the Kentucky Medical Services Foundation (KMSF) and the Department of Surgery (Appendix III) and letters from faculty (Appendix IV). A consultant's report by Bert W. O'Malley, MD dated May 15, 2009 (Appendix V) and the latest AGCME evaluation, September 3, 2008 and March 10, 2009 (Appendix VI).

### **The Strengths:**

From inception of the Division of Otolaryngology in department of surgery some 22 years ago, Dr. Jones had steadily built a division from one person to 9 clinically-oriented faculty, one research PhD and one audiologist. The faculty has achieved local and national recognition for the quality of its Otolaryngology patient care. The residency program has steadily grown to approval for 10 residents for the academic year 2009-10 with resident education considered to be strong. Historically the graduating residents have passed their board examinations on their first try with only two requiring a second attempt. Their interviews and evaluation according to ACGME standards have been excellent. Effective August 1, 2008 the program was accredited by the ACGME "The Review Committee commended the program for its demonstrated substantial compliance with the ACGME Requirements for Graduate Medical Education." The next review is scheduled for July, 2012.

The division is financially solvent with a substantial funded reserve, an endowed chair and receive financial support from the hearing-aid ancillary operation. According to the Administrative Director, separation to a department would not hurt the financial position of general surgery.

### **The Weakness:**

1. The committee believes that the major weakness is the lack of funded research and publications in peer reviewed journals in keeping with the plans of the University and the College of Medicine to be a "top 20" research institution.

It was also felt that with only seven (7) residents, the resident staff did not have an opportunity to participate in research activities.

2. The Committee was concerned that by the fact that so many patients seen by primary care physicians have ear nose and throat problems, but the medical students and primary care residents receive minimal instruction from the faculty or residents. Since Otolaryngology is an elective rotation in the required surgical block, most of the students selecting it are planning to specialize in the field.
3. More than 80% of US Medical Schools have Departments of Otolaryngology and so are all of the top 20 programs as rated by US News & World Report. This administrative situation is perceived as a weakness by potential faculty and residents and may also be by funding sources such as the NIH. Most all of the medical schools where Otolaryngology is a division in the department of surgery are not considered major research institutions.

### **Recommendations for Division vs Departmental Status:**

1. The Committee is unanimous, and almost all of the participants and letter writers were unanimous that the time is ripe for Otolaryngology to become a department. The division already has a critical mass and sufficient financial resources to operate as an independent department.

The Committee believes that such a move would be another step in helping the University of Kentucky and its College of Medicine to achieve “top 20” status. Outstanding researchers (and clinicians) in this field are limited and most want to be identified with a Department of Otolaryngology.

2. The timing is right because recent expansions in the Markey Cancer Center and in Neurosciences make collaborative opportunities excellent in both research and patient care. New faculty may be needed because waiting times up to five (5) weeks for patients with head and neck cancers means loss of patients notwithstanding the fact that UK current market penetration is as much as 90% for head and neck cancer.

With the new organization of a Council of Surgical Specialties Chairs to be chaired by Joseph B. Zwischenberger, MD, chair of the Department of Surgery and the medical group (all clinical department chairs) to be chaired Marcus Randall MD, chair of the Department Radiation Medicine, it is the belief of the Committee that Otolaryngology should be part of these groups in order to prosper. (It was noted that a few years ago a gamble was taken in separating Orthopaedics and Sports Medicine from the Department of Surgery. The department has prospered and expanded beyond any expectations extant when the decision was made to elevate the division to the departmental level.)

The committee recognizes that in an environment where resources are scarce, it will take a 5-10 year window for the Department to meet its potential. But in order to reach this potential and recruit research scientists and aid the university in its quest to become a “top 20” research institution, becoming a department is essential. A commitment must be made both by the division and the College of Medicine to become an academic scientific department.

3. The Committee recommends that top priority would be to recruit a vice chair with significant funded research charged with expanding the research in collaboration with the Markey Cancer Center, the Sanders-Brown Center on Aging and the Neurosciences Institution.

The Committee recommends that the new faculty would be appointed in the regular title series to emphasize that there was an expectation of expanding the research base in keeping with the mission of being a “top 20” research university.

4. In this regard, we would strongly urge that all residents have protected block time for research activities.

If you have any questions regarding this report, please feel free to contact the Committee.



**REVIEW PANEL**  
**EVALUATION OF THE DIVISION OF OTOLARYNGOLOGY –HEAD AND NECK SURGERY**  
**DEPARTMENT OF SURGERY, UK COLLEGE OF MEDICINE**

**Paul Bachner, MD, FACP**

University of Kentucky College of Medicine  
 Professor and Chairman of the Department of Pathology and Laboratory Medicine  
 Director of Hospital Laboratories at the Chandler Medical Center  
 Consultant at the Veterans Administration Medical Center

Paul Bachner, MD, FCAP is currently Professor and Chairman of the Department of Pathology and Laboratory Medicine at the Chandler Medical Center at the University of Kentucky in Lexington, a position he has held since 1997. He also serves as Director of Hospital Laboratories at the Chandler Medical Center and as a consultant at the Veterans Administration Medical Center.

Dr. Bachner was born in New York City where he attended the High School of Music and Art and the College of the City of New York. He received his medical degree from Columbia University College of Physicians and Surgeons and completed his internship and residency training at Columbia-Presbyterian Medical Center in New York City. While serving on the faculty at Columbia University College of Physicians and Surgeons and the New York Medical College, he practiced anatomic and clinical pathology in community-based and independent laboratory settings in Connecticut and New York from 1966 to 1993.

Dr. Bachner has had a long-standing interest in bone and soft tissue pathology, the administrative and management aspects of pathology practice as well as in the interface of pathology practice with organized medicine and pathology. He was instrumental in the development of the Q-Probes Program, the leading instrument for measurement of quality practices in pathology laboratories and has published extensively in the area of quality laboratory practice. He was a member of the original CLIAC, the advisory committee to the Secretary of HHS for implementation of the CLIA'88 regulations. He is a former president of the New York State Society of Pathologists, was a member of the CAP Board of Governors from 1992 to 2001 and served as the 26th president of the College of American Pathologists from 1999 to 2001.

**D. Kay Clawson, MD**

Consultant to the Dean, University of Kentucky Medical School

D. Kay Clawson, M.D. was born and raised in Salt Lake City, Utah where he attended the University of Utah. He served in the U.S. Navy, in WWII, before attending Harvard Medical School where he received his M.D. degree in 1952.

After five years of residency in General and Orthopaedic Surgery at Stanford University Hospitals, he studied in several centers in Europe. He was an Assistant Professor at UCLA before being named Head of Orthopaedics at the University of Washington. He served as

Professor and Chairman of the Department until 1975 when he was named Dean of the College of Medicine at the University of Kentucky. From 1983 to 1994 he was the Executive Vice Chancellor at the Kansas University Medical Center.

Dr. Clawson has served as President of the Association of Bone and Joint Surgeons, the Association of Orthopaedic Chairman and Harvard Medical Alumni Association. He was a founding member of the American Orthopaedic Society for Sports Medicine. He has been Chairman of the Deans Council, the Association of American Medical Colleges, the Residency Review Committee for Orthopaedic Surgery and the Kansas Governors Committee on Welfare, Criminal Justice and Aging. He served six years on the Accrediting Counsel for Graduate Medical Education.

Dr. Clawson has over 100 scientific publications and book chapters and has co-authored seven books.

### **Richard Janeway, MD**

Executive Vice President for Health Affairs, Emeritus  
Wake Forest University

Dr. Janeway received his undergraduate degree from Colgate University and the Doctor of Medicine degree from the University of Pennsylvania. He is a member of Phi Beta Kappa, Alpha Omega Alpha, and Sigma Xi. He has been a member of the faculty of Wake Forest University School of Medicine (formerly called Bowman Gray School of Medicine) since 1966, and Professor of Neurology since 1971. He was a John and Mary R. Markle Foundation Scholar in Academic Medicine from 1968 to 1973. He is Certified in Neurology by the American Board of Psychiatry and Neurology. He was Dean, and then Executive Dean, from 1971 to 1994. He served also as Vice President for Health Affairs of Wake Forest University from 1983 to 1990, when he became Executive Vice President for Health Affairs. In July 1997 Dr. Janeway was named Executive Vice President Emeritus and University Professor of Medicine and Management. He received the University's Medallion of Merit in 2000. He became Emeritus Professor of Neurology, and as Medicine and Management in 2003.

Dr. Janeway was a member of the Administrative Board of the Council of Deans of the Association of American Medical Colleges from 1977 to 1984, Chairman of the Council of Deans in 1982-83, and was Chairman of the Association of American Medical Colleges in 1984-85. He is a member of the Institute of Medicine of the National Academy of Sciences. Dr. Janeway was a Member-at-Large of the National Board of Medical Examiners from 1979-87, and Chaired the Committee on Undergraduate Medical Evaluation.

He was a Founding Director of Forsyth Bank & Trust Company in Winston-Salem in 1973 and continuing through the bank's purchase by Southern National. Since 1989, he has been on the Board of Directors of Southern National Corporation, now BB&T Corporation, the 9<sup>th</sup> largest bank in the United States, was Chairman of the Compensation Committee for six years, and was Chairman of the Executive Committee 2000-2002.

Dr. Janeway was a member of the Board of Trustees of Colgate University from 1988 to 1995, and the Board of Trustees of Winston-Salem State University from 1991 to 1995. He also served on the Boards of Directors of the National Association for Biomedical Research and of Americans for Medical Progress.

**Brad Welling, MD**

Chair, Department of Otolaryngology-Head and Neck Surgery, The Ohio State University  
Program Director of the department's accredited Neurotology Fellowship

Dr. D. Bradley Welling is the Chairman of the Department of Otolaryngology-Head & Neck Surgery at The Ohio State University and has been a faculty member in the department since 1989. He is also the Program Director of the department's accredited Neurotology Fellowship.

Dr. Welling is a native of Utah and received his medical training at the University of Utah and his specialty training at the University of Iowa Hospitals and Clinics. He continued his subspecialty training in Otolaryngology, Neurotology, and Skull Base Surgery at The Ear Foundation in Nashville, Tennessee. In 1996, Dr. Welling was awarded a K23 grant from the National Institutes of Health to identify new mutations in the NF2 gene. Continuing the educational component of the K23 grant, Dr. Welling received his doctorate degree in Pathobiology in 2003 from The Ohio State University. Dr. Welling's research continues to focus on the underlying molecular mechanisms of vestibular schwannoma tumorigenesis and development of new treatment modalities for these tumors, especially in patients with NF2. He is the Principal Investigator of a R01 grant funded by NIH to study the phenotypic determinants of vestibular schwannomas.

Dr. Welling has published over 82 articles in peer-reviewed journals and has written 20 book chapters. He was awarded the Edmund Prince Fowler Award from The Triological Society in 1997 and the Nicholas Torok Award from the American Neurotologic Society in 2001. Dr. Welling became a Daiichi Clinical Scholar in Clinical Research and Evidence Based Medicine in 2002 and was inducted into the Collegium Oto-Rhino-Laryngologicum Amicitiae Sacrum in 2006. Recently, he was awarded a Presidential Citation from the American Otological Society for research in Understanding the Molecular Mechanism of Vestibular Schwannoma.

## Background

The Division of Otolaryngology – Head and Neck Surgery was founded in 1988 as a new program with the financial support of the Dean of the College of Medicine under the direction of the previous Chair of the Department of Surgery, Byron Young, MD. As a fledgling program, Dr. Young, a Neurosurgeon, recruited Raleigh Jones, MD as the first Chief of Otolaryngology with one additional faculty member, Sanford Archer, MD. Recognizing the need to establish a solid clinical base for this program, other faculty members were recruited to provide a sound foundation in all the subspecialty areas of Otolaryngology including neurotology, head and neck oncology, advanced sinus surgery, voice disorders, allergy, pediatrics, and facial plastic surgery. The emphasis on clinical program development was successful and a residency program was approved in 1990.

## Changes and Challenges in Current Environment

When the Division of Otolaryngology – Head and Neck Surgery was founded in 1988, most Otolaryngology Programs in the US were divisions of a large, unified Department of Surgery. General Surgery dominated these departments and there were often conflicts between general surgeons, otolaryngologists, and plastic surgeons over perceived turf battles. This tension was the major reason otolaryngology did not exist at UK until 1988, over 25 years after the Surgery Department was founded. As the chair of the Department in 1988 when Otolaryngology was founded, Dr. Young was a strong supporter of a higher degree of divisional autonomy than was often seen at other institutions. This environment had the effect of forestalling the fragmentation of the UK Surgery Department that has affected nearly every Surgery Department over the past 25 years. However, the issues that confronted large departments of surgery nationally have not left UK untouched. Medicine itself has changed dramatically so that surgeons of different specialties have much less in common with one another than they did in the past. An otolaryngologist's practice bears almost no resemblance to that of a cardiac surgeon, neurosurgeon, or orthopedist. An otolaryngologist has a very large clinic practice, much

more than many other surgeons. Over 75% of the surgery of an otolaryngologist's practice is outpatient, much more typical of an ophthalmologist than a general or thoracic surgeon. As subspecialization has increased, there has been less and less overlap with other surgical services and otolaryngology has assumed the clear leadership role in the management of head and neck oncology in addition to its more traditional areas of nasal, sinus, ear and throat disorders. As the practice of the various specialties has diversified, the areas of commonality have lessened.

Within the last four years, the American Board of Otolaryngology has mandated that the PGY-1 year that had previously been a traditional rotating internship in surgery must now be a PGY-1 year in Otolaryngology under the direction of the Otolaryngology Program Director with certain proscribed rotations in surgery, anesthesia, emergency medicine and otolaryngology. This followed a similar move by several other Boards in surgical specialties over the last few years. Thus, the last formal link in residency training between otolaryngology and other surgical specialties and general surgery has been formally broken, mirroring the informal separation that has occurred over the past decades.

Our own institution has confronted these issues within the past 5 years. Orthopedic Surgery experienced significant difficulties as a division and was granted Departmental Status in 2004. Concern was expressed at that point about whether this small division would be able to thrive as a department and if the Department of Surgery would be negatively impacted by the loss of this division. Experience has proved both of these concerns without merit. The Department of Orthopedic Surgery has experienced dramatic growth in clinical activity, faculty size and research productivity since becoming a department and the Surgery Department has continued to grow and expand its clinical service as well. In 2006, Neurosurgery became an independent Department continuing the trend that has occurred throughout the country in a similar manner to Orthopedics. It has recently undergone the appointment of a new Chair of Neurosurgery and continues to have very strong clinical, teaching and research programs. Again there is no evidence of any negative impact on the Department of Surgery, largely due to the

divergence of clinical activity, teaching and research that has occurred naturally within the department over the past two decades reflecting national trends.

In 2010, there are 96 non-military programs in Otolaryngology in the U.S. Seventy-eight (81%) of those are now at departmental status. Among leading programs in Otolaryngology, departments dominate the rankings. Within our region, the following programs are independent departments:

- University of Michigan
- University of Pittsburg
- University of Virginia
- University of North Carolina
- Vanderbilt University
- Cleveland Clinic
- Washington University
- Indiana University
- Ohio State University

Only smaller, less recognized programs remain as divisions of surgery in our region:

- University of Louisville
- Northeast Ohio University College of Medicine
- Southern Illinois University School of Medicine
- Penn State/Hershey Medical Center

This same distribution is present throughout the country. Virtually all of the major programs are Departments. Among those are:

- Johns Hopkins
- Harvard (Mass Eye and Ear)
- UC-San Francisco
- University of Iowa
- University of Pennsylvania
- Stanford

In the 2010 US News and World Report of top Otolaryngology Programs in the US, the only Division listed in the top 50 was UCLA. The remainder of the ranked programs are all departments.

While the Division of Otolaryngology has seen significant clinical growth over the years, recent faculty recruitment has been much more difficult. It recently took two years to fill a vacancy for a head and neck oncologist while in the past we found multiple interested candidates to choose from. A 7-year vacancy in our Pediatric Otolaryngology faculty position was finally filled 2 years ago with great difficulty. Consistently candidates expressed concerns about joining a Division of the Department of Surgery where their chair would not be an otolaryngologist and their program would be unable to interact with medical school and hospital leadership as would be possible if they worked in a program with departmental status. There is no question that recruitment has been much more difficult in recent years as the trend toward departmental status has broadened and the issue become much more of concern. The most recent recruitment of our division, Dr. Maria Veling was particularly difficult because of this issue. Dr. Veling had been a faculty member at the University of Louisville for 8 years and eventually left that position largely as a result of ongoing problems resulting from divisional status at U of L with no sight of imminent change. With strong ties to the area, we were in a prime position to recruit her to our open position in Pediatric Otolaryngology, but it was very difficult to convince her that we were in a better position to overcome the problems of divisional status here at UK than she had previously experienced.

Recruitment of residents has also been affected. Nationally, Otolaryngology is a specialty in high demand by US medical school graduates, so UK has been able to consistently match qualified residents; however, it has been more difficult in recent years to get the top candidates. We have found that our match rank numbers have dropped as the concern among resident candidates about our divisional status has risen. When given the opportunity to ask questions about our program during their interviews, many of these astute applicants are concerned about the implications of the program's status as a division of the department of surgery will have on their residency training. They are aware of this issue from discussions among residents and faculty members throughout the country about the potential difficulties that can arise in divisions within a department of surgery headed by a non-otolaryngologist.

Otolaryngology Cur Faculty Members

Faculty	Academic Rank	Title Series	Years at UK	Tenured	‡	Type of Practice
Raleigh Jones, MD	Professor	Speical Title Series	22	Yes		Neurotology
Sanford Archer, MD	Professor	Speical Title Series	22	Yes		Sinus / Voice
Joseph Valentino, MD	Professor	Speical Title Series	18	Yes		Head and Neck Oncology
**Richard Haydon, MD	Associate Professor	Speical Title Series	20	Yes		Rhinology / Allergy / Sleep
Thomas Gai, MD	Associate Professor	Speical Title Series	4	Yes		Head and Neck Oncology
Maria Veling, MD	Associate Professor	Speical Title Series	3	No		Pediatric
Hongbo Zhao, PhD, MD	Associate Professor	Regular Title Series	8	Yes		Otologic Research
William Mimmms, MD	Assistant Professor	Clinical Title Series	5	No		General
Amit Patel, MD	Assistant Professor	Speical Title Series	1	No		Facial Plastics
Jennifer Shinn, PhD	Assistant Professor	Speical Title Series	5	No		Audiology
Abbas Younes, MD	Assistant Professor	Speical Title Series	3	No		Pediatric
** Currently on Medical Leave						



Clearly, otolaryngologists no longer view themselves as a surgical subspecialist, but as a Head and Neck surgical specialist, autonomous from the General Surgeon mentality of prior years. The American Academy of Otolaryngology-Head and Neck Surgery is a strong, vibrant organization that otolaryngologists look to as their national organization while otolaryngologists' membership in the American College of Surgeons has dramatically decreased in recent years and ACS meetings are no longer offering programs aimed at otolaryngologists since attendance at such meetings is virtually non-existent.

While Otolaryngology has been able to retain a core group of senior faculty members to maintain stability to our program, we have lost several individuals who were quite promising junior faculty members to other institutions in the past 10 years, each time to Departments of Otolaryngology. Among these are Jose Manaligod, MD to the University of Iowa, Paul Spring, MD to the University of Arkansas and Tammy Sanders, MD to the University of Mississippi. In fact, only one faculty member has left our program to leave academic medicine and enter private practice.

Our current faculty members include:

Faculty member	Academic Rank	Years at UK	Tenured	Type of Practice
Raleigh Jones, MD	Professor	22	Yes	Neurotology
Sanford Archer, MD	Professor	22	Yes	Sinus/voice
Joe Valentino, MD	Professor	18	Yes	Head and Neck Oncology
**Richard Haydon, MD	Assoc. Prof	20	Yes	Rhinology/allergy/sleep
Thomas Gal, MD	Assoc. Prof	4	Yes	Head and Neck Oncology
Maria Veling, MD	Assoc. Prof	3	No	Pediatric
Hong-bo Zhao, PhD	Assoc. Prof	8	Yes	Otologic research
William Mimms, MD	Assist. Prof	5	No	General
Amit Patel, MD	Assist. Prof	1	No	Facial Plastics
Jennifer Shinn, PhD	Assist. Prof	5	No	Audiology
Abbas Younes, MD	Assist. Prof	3	No	Pediatric

\*\* Currently on medical leave

### Future Development

While the UK Division of Otolaryngology has grown in size and clinical activity, there is no question that the academic pursuits of our faculty have not met the same level of excellence as our clinical programs. An open position for a physician scientist to work in conjunction with the Markey Cancer Center has been unfilled for nearly 2 years now and candidates who have visited have taken jobs in programs with Departmental status and the perceived stability that provides. Opportunities exist for significant collaboration in the rapidly growing Markey Cancer Center for both physician scientists as well as basic scientists with interest in Head and Neck Cancer, but recruiting into these positions has been hindered by our current status. It is only by including physician scientists into our program that UK Otolaryngology will gain the national recognition and excellence we desire. In addition to Markey, opportunities for joint recruitment and research exist with the Departments of Radiation Oncology, Physiology and increased interaction with the Speech Pathology Department in the College of Allied Health.

### Financial Concerns

Because of our strong clinical program development, Otolaryngology has been the most financially successful and stable division within the Department of Surgery. We have met our budget every year and have a 2 month expense Contingency Fund in reserve. In FY 2010, Otolaryngology contributed \$194,000 to the Department of Surgery as its share of the Departmental Tax on clinical income. It is anticipated that a new Department of Otolaryngology will most efficiently purchase some services from the Department of Surgery such as expertise in financial grant oversight and publications office assistance. A full time administrator, badly needed for our program development, can be paid for from the remainder of the departmental tax previously paid to the surgery department. No additional resources will be needed for the continuation of the current Otolaryngology program although future growth may require additional investment by UK Health Care. In addition, the growth of the remainder of the Department of Surgery in the past 4 years

is sufficient that the loss of a portion of the resources contributed by Otolaryngology should be of little consequence to the Department of Surgery.

The Division of Otolaryngology – Head and Neck Surgery currently has 10 full-time faculty members including two primarily research faculty members. The division receives a total of \$271,000 in State Funds through the Dean's office for salary and programmatic support amounting to approximately \$27,000 per faculty member per year. There are currently 3 professors, 3 associate professors and 4 assistant professors in the division. Despite this low level of support, the division has remained strong financially due to its strong clinical program. Below is a chart representing the Clinical Revenue and required taxes paid by the division over the past 10 years:

### Otolaryngology Yearly Revenue and Required Taxes

Year	# clinical faculty	Clinical Revenue	Dean's Tax	Dept Tax
2000-01	6	\$2,564,000	\$188,441.00	\$129,553.00
2001-02	7	\$2,951,190	\$204,838.00	\$130,584.00
2002-03	7	\$3,093,000	\$221,709.00	\$145,083.00
2003-04	6	\$2,843,000	\$227,708.00	\$128,086.00
2004-05	7	\$3,064,000	\$221,980.00	\$124,863.28
2005-06	7	\$3,123,978	\$227,043.00	\$144,739.00
2006-07	7	\$3,200,897	\$221,207.00	\$156,554.00
2007-08	8	\$3,751,774	\$261,657.00	\$164,836.00
2008-09	8	\$4,327,976	\$303,783.00	\$190,470.00
2009-10	8	\$4,467,468	\$309,382.00	\$194,192.00

### Educational Issues

Otolaryngologic disorders are among the most common problems seen by primary care physicians in the U.S. Otitis media and its complications, sinusitis, laryngitis, neck masses, allergies, and epistaxis confront physicians in their practice daily and are often cited as areas of weakness in surveys of primary care providers. Exposure to Otolaryngology by medical students at UK is limited to a one hour lecture in the physical diagnosis class of second year and optional participation as a part of the third year surgical rotation. An elective is available to fourth year students as either an

Acting Intern or as a research elective. Although the current otolaryngology faculty members have received significantly above average ratings by the medical students, the impact of the educational efforts of our faculty is severely limited by the paucity of the student exposure. In the last two years, an *average* of 8 third year students have chosen to rotate for two weeks on Otolaryngology as a part of their third year surgery clerkship and 6 fourth year students have participated as Acting Interns. We have had one student elect a research experience in fourth year. We long to be more involved in the College educational activities and should have increased opportunities as a full Department to lobby for more instructional time with students in each year of their medical training.

As students graduate and become residents, those in primary care such as family practice, general internal medicine and pediatrics have continuing and even more pressing need for exposure to Otolaryngology. While some of these residents rotate through our currently, as a Department we would like to develop a formal curriculum in conjunction with the primary care residency program directors to address the specific educational experiences and topics they need to cover. Departmental status will allow us to interact with these other departments in a more effective manner.

### Residency Training

The Otolaryngology Residency Program at the University of Kentucky has been in existence since 1990. It has a strong clinical base but research experiences are required of each resident during their training. The PGY-1 year is largely proscribed by the RRC of the ACGME and contains mandatory training in emergency medicine, anesthesiology, neurosurgery, surgical oncology, pediatric surgery, plastic surgery, trauma/ICU, and . In addition our residents have a one month block on Oral Surgery and another on Radiation Oncology. Our residents have performed well on their board certification exam and several have pursued further fellowship training after completing their residency. Below is a listing of residents graduated in the last 10 years, their board certification status and their practice type and location:

## University of Kentucky Otolaryngology Residents 2000-2010

Name	Board Certified	Further training?	Type of Practice	Location
Greg Abbas	Yes	No	Private Practice, General Otolaryngology	Louisville, KY
Michael Boggess	Yes	Yes- facial plastics	Private Practice, Facial Plastic Surgery	Nashville, TN
William Jarrett	Yes	No	Private Practice, General Otolaryngology	Hickory, NC
Jason Diamond	Yes	Yes - facial plastics	Private Practice, Facial Plastic Surgery	Beverly Hills, CA
Sam Pruden	Yes	Yes, Dermatology	Dermatologic path fellowship	St. Louis, MO
Jong Yoon	Yes	No	Private Practice, General Otolaryngology	Frederick, MD
Jonathan Doty	Yes	No	Private Practice, General Otolaryngology	Danville, KY
Chad Secor	Yes	No	Private Practice, General Otolaryngology	Louisville, KY
Brian Heaberlin	Yes	No	Private Practice, General Otolaryngology	Huntington, WV
David Gossman	Yes	No	Private Practice, General Otolaryngology	Peshigo, WI
**Matt Bush	Yes	Yes - Neurotology	Neurotology/Research Fellowship	Columbus, Ohio San Francisco, CA
Manu Gujrati	Yes	Yes - facial plastics	Private Practice- Facial Plastic Surgery	Asheboro, NC
Rob Wilson	Yes	No	Private Practice, General Otolaryngology	Asheboro, NC
Brian Helton	Exam pending	No	Private Practice, General Otolaryngology	Prestonsburg, KY
Michele Streeter	Exam pending	No	Private Practice, General Otolaryngology	Harrisonburg, VA

\*\* Dr. Bush is scheduled to join our faculty in July 2011 after completing his fellowship

### Expected benefits to UK with a Department of Otolaryngology

1. Improved ability to recruit faculty members for vacant positions. A Department of Otolaryngology will be able to attract better candidates and be more effective in finalizing these recruitments.
2. Improved ability to recruit top resident applicants.
3. Enhance national recognition of UK's Otolaryngology program with resultant enhanced recognition of UK's clinical programs.
4. Improved ability to recruit top scientists and improve the scholarly environment of the otolaryngology and the College. Interdepartmental collaboration will be enhanced.

5. Improved access of Otolaryngology's faculty to enterprise leadership to Otolaryngology faculty with improved cooperation and integration into enterprise strategic and operational planning.
  
6. Enhanced opportunities to interact with other clinical and basic science departments in research and to develop new clinical programs such as a skull base surgery program in conjunction with Neurosurgery and Radiation Oncology.
  
7. Expanded opportunities for medical student education in head and neck disorders.

**Asher, Linda M**

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**From:** Maul, Erich  
**Sent:** Tuesday, September 28, 2010 11:17 AM  
**To:** Asher, Linda M  
**Subject:** ENT comment

While I enjoy the services provided by ENT in the Children's Hospital, I have concerns about them. Generally when we call for a consult, the residents are very responsive, however, staffing that consult with an attending is often delayed more than 24 hours or longer. This is an issue that needs to be addressed. Overall, I am pleased with the services provided, but wish more timely attending staffing of patients.

Erich C. Maul, DO, FAAP  
Pediatric Hospitalist  
Kentucky Children's Hospital  
Associate Program Director, Pediatrics Residency  
Assistant Professor of Pediatrics  
University of Kentucky, College of Medicine  
William R. Willard Medical Education Building  
800 Rose Street, Room MN 118  
Lexington, KY 40536  
(859) 257-7134; (859) 323-1214-fax

**Asher, Linda M**

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**From:** Stadler, Laura P  
**Sent:** Tuesday, October 05, 2010 2:45 PM  
**To:** Asher, Linda M  
**Subject:** ENT feedback

Linda-

My only feedback would be that we'd appreciate having more *pediatric* ENT specialists available for mgmt: whether it be surgical or otherwise..

Thanks for your consideration

Laura

Laura Patricia Stadler, MD, MS  
Assistant Professor of Pediatrics  
Division of Infectious Disease  
KY Clinic Room J414  
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**Bert W. O'Malley, Jr., M.D.**  
**Report from Visit and Evaluation of the Division of**  
**Otolaryngology-Head & Neck Surgery**  
**University of Kentucky**

**May 15, 2009**

Dear Dr. Perman,

As per your request, I was asked to visit the University of Kentucky and evaluate the Division of Otolaryngology-Head & Neck Surgery's request to become a Department. Prior to my visit, I read the following materials and information provided to me by Dr. Raleigh Jones: 2008 Division of ORL-HNS Overview, July of 2008 Proposal for Creation of a Department, 2008 Response to Dean's Concerns, and the April 2009 Strategic Plan Outline. I then visited the University of Kentucky on April 30<sup>th</sup> through May 1<sup>st</sup>, 2009. I must say that I thoroughly enjoyed my visit and meeting the leadership within the Dean's office, the Health Enterprise, the Department of Surgery, and the faculty within the Division of ORL-HNS. I was impressed by the growth and collective vision for the clinical, research, and education mission that was made apparent to me during my visit. I was also impressed by the overall enthusiasm of the both the administrative and clinical leaders and faculty that I spoke with during my visit. I am sure you are proud of what is happening at the University of Kentucky and I look forward to seeing your institution continue its rise on a regional and national level.

With respect to the recent request for the Division of ORL-HNS to become a Department, I have taken into account all the information presented to me and the meetings I had with everyone at UK. I have seriously thought about the rationale for this request and the risks and benefits. Throughout the various discussions I had during my visit, there was one common question presented to me that I want to focus on. This question came from everyone with whom I met outside of the Division of ORL-HNS. That question, coming in a few different forms, was "Should the Division of ORL-HNS become a Department and if so, why?" I will answer this question, by saying that it is really not about what I think but about what the University of Kentucky wants for itself and from its ORL-HNS program. Across the nation, approximately 80% of the ORL-HNS programs exist as free standing Departments. This has been a growing trend over the past 15 years, and I do believe will continue, especially in systems with a true academic mission. From a personal bias viewpoint, I strongly believe that an ORL-HNS program within a University and Health System setting should be a Department.

The rationale for my thoughts on Departmental status for ORL-HNS does not stem from what is needed to make the faculty happy or feel rewarded for a job well down. The main reason I believe that Department status is important is that I do not think an ORL-

HNS program can reach its full potential unless it becomes a Department. Along the same line, I do not think a University and Health System will reach its maximal potential and gain the most benefit from ORL-HNS without having the program be a Department. The remainder of this document will focus on why I believe this and then I will conclude with my thoughts on some of the potential areas for future growth and success for ORL-HNS. I will summarize my thoughts and will not reiterate the extensive details, strengths and weaknesses, and arguments presented by Dr. Jones in the documents he has put together to date.

#### National and International Reputation

I personally believe that achieving national and international reputation and recognition is an important goal for any medical school, hospital, or health care system. While I do not personally believe that the prevailing media rankings directly correlate to the quality of physicians or actual healthcare provided, they are a great barometer of national reputation. With respect to the U.S News and World Reports Rankings for Best Hospitals, the "reputation score" of each selected specialty is of the greatest importance in their final ranking. The national reputation is how our peers, and often referring physicians, in our specialties view us. The public regardless of their level of education is also swayed and guided by the media and so high exposure publications and rankings such as presented by U.S. News and World Reports is significant. I do think these rankings help guide referring physicians and also patients as to where they want to go for their health care, and particularly if they have options as to where to receive their care.

In addition to attracting and retaining patients, there is the issue of philanthropy. From my personal experience with patient philanthropy and with interacting with the various boards and fund raising groups from Houston to Baltimore to Philadelphia, the level of reputation from the "national rankings" does effect where a wealthy patient directs their monies and the level of their gift. My understanding is that philanthropic minded patients want their gifts to have the greatest impact and typically feel that the stronger the institution, the better the money will be used. While the very top institutions tend to receive the highest level of philanthropic giving, there are exceptions with recent very large gifts to lesser known health care systems from very wealthy families within the local community. These gifts have typically been for new research buildings or children's hospitals and to "advance the level of care or reputation" of their local health care system. In all scenarios, the philanthropic patients want success from their gift and investment and are looking to see how their gift improves health care, innovation, and discovery. A health care system on the rise clinically and academically has the greatest chance of receiving philanthropic gifts. I also strongly believe that the international patient population and community judge their opinions and seek out care from what the U.S. patients and media believe are the top institutions.

With respect to the U.S News and World Reports, the hospital Honor Roll depends on the number of top ranked specialties for these hospitals. The ranking of the specialties depend on their reputation score (which they can influence) and then various technologies

and select metrics within the hospital (which the specialties have less influence over). The following are the 16 specialties:

- Cancer
- Ear, Nose, & Throat
- Endocrinology
- Gastrointestinal Disorders
- Geriatric Care
- Gynecology
- Heart & Heart Surgery
- Kidney Disease
- Neurology & Neurosurgery
- Ophthalmology
- Orthopedics
- Psychiatry
- Rehabilitation
- Respiratory Disorders
- Rheumatology
- Urology

Note that "ENT" is not only one of these specialties but ENT can also have a significant influence on the "Cancer" ranking as well. Otolaryngology is therefore a very important specialty to focus on if a health care system wants to grow their national and international reputation based on these ranking systems and media. I believe that there is a strong bias among our Otolaryngology peers who rank us and drive the reputation score that the stronger and more notable ENT programs are Departments.

#### Faculty Recruitment and Retention

The strength of any program is directly related to the strength and success and efforts of the faculty. It is a general circular concept that the most promising academic minded faculty choose to come to or find it hard to leave stronger academic institutions, and institutions become stronger with higher achieving and more innovative faculty. As a general rule, the faculty who are on a high trajectory for academic achievement and/or who are developing unique clinical programs desire to be at more well known institutions and/or growing institutions and where their specialty is a Department rather than a Division if that is the national norm. The reasons for this may be numerous, but it comes down to sense of stability and mitigating risk. A future faculty who is deciding on making a move and joining an institution wants to be as confident as they can that the foundation they are joining will not radically change or fall apart, but on the contrary, will continue to grown and evolve. This concept also is important for retention as a faculty who is on the rise academically will surely be sought after by other institutions. These competing institutions will use the "Department" status and stability and growth potential "card" as a strong influence in attracting such faculty. There is a perception that Divisions are at higher risk of wider shifts in faculty or loss of resources from the institution than is a Department. I do think these general concerns or fears are real and rationale. If the University of Kentucky wants to recruit additional Otolaryngology faculty who have the highest chance and greatest potential of making academic advances and growing national reputations, then Departmental status will facilitate this and help maintain stability in the long run.

### Residency Program

Recruitment of strong residents is a key factor in developing and sustaining an excellent clinical and academic program in Otolaryngology. In general, the top residency applicants desire to go to the top training programs. While there are various opinions on what constitutes a top residency training program, the general concepts that are agreed upon by the majority of Otolaryngology residents is a broad level of training covering the gamut of specialty experience with great faculty and the opportunity to engage in clinical or translational research and teaching. The greatest concern of residents applying for Otolaryngology is that key faculty leave and the program or its culture changes significantly from what attracted them to the program during the interview process. There is general thought by residents and supported by faculty comments during the interview process that a Department is much more stable than a Division and the top residents should not consider programs that are at risk or that are not growing and/or advancing. The top residents who typically have more choices tend to stray from Divisions or smaller programs where one faculty loss or a shift in resources or lack of ongoing investment from the institution could severely affect their program and thus their training experience. A strong residency program is also very valuable to the clinical productivity and success of Otolaryngology and to attracting and retaining top faculty.

### Research Opportunity

Research is a very important aspect of developing and maintaining a strong Otolaryngology program. While there are significant differences in mindset and circumstances and environment that attract scientists versus clinicians, the general principle that top researchers seek out top research institutions or possibly lesser known institutions with strong foci of researchers in particular areas is valid in my opinion. The top Otolaryngology programs in the nation have a common theme of supporting and advocating strong basic or translational research as well as clinical research. From my interactions with many of the Otolaryngology programs around the nation, I have seen that programs as Divisions may have one or even two scientists, but they rarely have "research programs". I do think this also stems from more limited resources to recruit and support scientists within certain surgical divisions versus a surgical Department. In the multiple medical institutions where I have worked, the medical school and hospital leadership have expressed that academic Departments should have strong academic missions which center on research and teaching. Therefore, institutional resources tend to be directed to the Department, which then decides on where to make the investment in the academic mission among its Divisions. This strategy may limit the advancement of an Otolaryngology academic mission should there be other pressing issues or Departmental priorities other than Otolaryngology.

### Resource Allocation and Institutional Presence

Based on my experience within Otolaryngology, a medical school and institution will invest more resources in the advancement and success of an Otolaryngology Department than a Division. In addition, the ability of the Chair of Otolaryngology to interface

directly with medical school and hospital leadership allows the mission and opportunities to be conveyed more clearly and promptly. There is the possibility and probability that the mission of Otolaryngology will receive some filtering when there is another Chair or leader between these lines of communication. While Department status does not guarantee institutional presence, it does help facilitate the coveted "voice at the table" that Chairs desire with respect to keeping their programs at the forefront of thought and consideration from the hospital and medical school leadership.

#### Opportunities at the University of Kentucky for Otolaryngology-Head & Neck Surgery

In my opinion, if the present faculty and leadership within Otolaryngology at the University of Kentucky are satisfied with their present clinical and academic missions and national presence, then there is really no need for them to become a Department. On the other hand, if the faculty desired to grow as individuals and as a collective program, then I do believe Department status would enhance their ability to reach such goals.

The foundation of most long standing and well known Otolaryngology Programs / Departments have had a foundation in basic or translational research that focuses on the Hearing Sciences. However, in the past 20 years, there has also been a large growth in research and significant advances in the area of head and neck cancer. While research within the other subspecialties in Otolaryngology is important, I believe the cornerstone to the research missions should lie in either Hearing Sciences or Head & Neck Cancer. The reasons for this stem not only from the tradition within our specialty, but also based on the more common research priorities within most medical institutions that include Cancer and Neurosciences. Therefore, there will be more scientists and researches in these fields within an institution and thus more opportunity for critical collaboration and integration of Otolaryngology's research efforts and the strengths and science depth of the research community. During my visit, I was made aware of the exciting growth in Cancer clinical care and research and the recent large investments in the Cancer Center and its leadership. I believe there is a significant opportunity for Otolaryngology to both capture more of the clinical head and neck cancer presence with the state and surrounding states as well as develop a translational research program in alignment and in conjunction with the Cancer Center. The recruitment of a surgeon scientist in Head & Neck Cancer and a basic or translational scientist is a key next step in both clinical and research growth at UK. I do strongly believe that research, innovation, and novel clinical trials attract patients and donors, enthruses the faculty, and is critical to the success of a health care system. The weakening of the University of Louisville and the already strong clinical presence of the head and neck surgeons within the University of Kentucky and the growing Markey Cancer Center focus creates an excellent foundation and opens a serious opportunity for cancer care growth and the enhancement of regional and national presence. I do believe for the reasons in the first sections above, the goal of advancing the Head & Neck Cancer clinical and research programs would have the greatest chance of success with Department status.



Along the same line, there seems to be a paucity of otologists and neurotologists in Kentucky and Dr. Jones has a safe wide draw that could be further capitalized upon. I have heard that there is a new otology faculty soon to be recruited, and this should enhance the clinical care aspect of Otolaryngology. I would strongly encourage an organized mentoring program for this new faculty as well as an active effort to help him integrate and work with either the present hearing scientist within the Division and/or the neurosciences community at large. The recruitment of an additional otologist and an organized focus on ear and hearing care and scientific discovery provides an opportunity for integrating the present hearing scientist within the Division with the neuroscience community and finding mentors for the continued growth of both these faculty.

While there may be unique opportunities within Otolaryngology for developing other science or research efforts such as in the area of Laryngology or Allergy or Sinus Disease, I would be cautious of investing in any program or plan that does not have the potential to align and collaborate with existing strengths within the research community at large at the University of Kentucky.

#### Summary

I do believe there is great potential for significant clinical and academic growth within Otolaryngology at the University of Kentucky. I further believe that the Health System or Enterprise would benefit greatly from an organized and collaborative growth plan in Otolaryngology and the ensuing clinical and academic success. It is also my opinion that such growth and regional and national success would be greatly facilitated by a strong strategic plan and vision coupled with a plan for Departmental status.



March 10, 2009

Accreditation Council for  
Graduate Medical Education

515 North State Street  
Suite 2000  
Chicago, IL 60654

Phone 312.755.5000  
Fax 312.755.7498  
www.acgme.org

Raleigh O. Jones Jr, MD, MBA  
Program Director, Chief of Otolaryngology - Head & Neck Surg  
University of Kentucky Medical Center  
Otolaryngology - Head & Neck Surgery  
800 Rose Street, Room C236  
Lexington, KY 40536

Dear Dr. Jones,

The Residency Review Committee for Otolaryngology, functioning in accordance with the policies and procedures of the Accreditation Council for Graduate Medical Education (ACGME), has reviewed the information submitted regarding the following program:

Otolaryngology

University of Kentucky College of Medicine Program  
University of Kentucky College of Medicine  
Lexington, KY

Program 2802021127

Length of Training: 5  
Maximum Number of Residents: 10  
Residents Per Level: 2.00 - 2.00 - 2.00 - 2.00 - 2.00

The Review Committee received the progress report and indicated that the steps delineated should continue in response to the citations in the most recent notification letter. When the program is next reviewed, each area will be carefully evaluated to determine program compliance with the standards. The committee provided the following comments:

Citation #1

(Previous Citation) A lack of progressive responsibility for resident education continues in the program. The case logs for the graduating chief in 2007 denotes 1935 procedures as surgeon and 254 as first assistant. This same pattern is evident with thyroidectomies with 25 as surgeon and 2 as assistant, thyroidectomy 17/2, cryopharyngeal myotomy 8/0, and total laryngectomy with 5/1. P.R.IV.5.a.12.

Committee's Comments:

The most recent case logs indicate there is improvement in the thyroid and parathyroid procedures assistant ratios, as well as cryopharyngeal myotomies and laryngectomy. The program has hired a full time pediatric surgeon to improve the opportunity for resident education in new born care. This area will be carefully reviewed at the time of the program's next review to ensure continued compliance.

The Committee reviewed the request for an increase in the resident complement from a total of 7 distributed as 1-2-1-2-1 to a total of 12 distributed as 2-3-2-3-2 effective July 1, 2009. The

Raleigh O Jones, MD  
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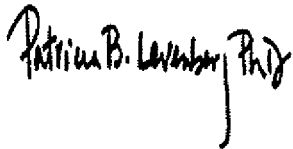
Committee denied that request but instead approved an increase in the complement to 2-2-2-2-2 beginning academic year 2009-10. The program director has requested to take the additional resident at the PGY-2 level beginning 2009-10 and it was approved.

Academic Year	Transition	Total
2009-10	2-2-2-1-2	9
2010-11	2-2-2-2-1	9
2011-12	2-2-2-2-2	10

The program director should carefully monitor the number of procedures available for resident education, assuring that every resident has a sufficient volume and variety of procedures.

This office must be notified of any major changes in the organization of the program. When corresponding with this office, please identify the program by name and number as indicated above. Changes in participating sites and changes in leadership must be reported to the Review Committee using the ACGME Accreditation Data System.

Sincerely yours,



Patricia B. Levenberg, Ph.D.  
Executive Director  
Residency Review Committee for Otolaryngology  
(312)755-5048  
plevenberg@acgme.org

CC: Susan M. McDowell, MD

Participating Site(s):  
Veterans Affairs Medical Center (Lexington)  
University of Kentucky Hospital  
St Claire Medical Center  
Mary Chiles Hospital





September 3, 2008

Accreditation Council for  
Graduate Medical Education

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Raleigh O. Jones Jr, MD  
Program Director, Chief of Otolaryngology - Head & Neck Surg  
University of Kentucky Medical Center  
Otolaryngology - Head & Neck Surgery  
800 Rose Street, Room C236  
Lexington, KY 40536

Dear Dr. Jones,

The Residency Review Committee for Otolaryngology, functioning in accordance with the policies and procedures of the Accreditation Council for Graduate Medical Education (ACGME), has reviewed the information submitted regarding the following program:

Otolaryngology

University of Kentucky College of Medicine Program  
University of Kentucky College of Medicine  
Lexington, KY

Program 2802021127

Based on all of the information available to it at the time of its recent meeting, the Review Committee accredited the program as follows:

Status: Continued Accreditation  
Length of Training: 5  
Maximum Number of Residents: 7  
Residents Per Level: 1.00 - 2.00 - 1.00 - 2.00 - 1.00  
Effective Date: 08/01/2008  
Approximate Date of Next Survey: 07/2012 FS  
Cycle Length: 4.0 Year(s)  
Progress Report Due: 12/01/2008  
Approximate Date For Internal Review: 07/2010

#### AREAS NOT IN SUBSTANTIAL COMPLIANCE (CITATIONS)

The Review Committee commended the program for its demonstrated substantial compliance with the ACGME's Requirements for Graduate Medical Education.

However, the Committee cited the following areas as not in compliance:

#### Citation #1

(Previous Citation) A lack of progressive responsibility for resident education continues in the program. The case logs for the graduating chief in 2007 denotes 1935 procedures as surgeon and 254 as first assistant. This same pattern is evident with thyroidectomies with 25 as surgeon and 2 as assistant, thyroidectomy 17/2, cryopharyngeal myotomy 8/0, and total laryngectomy with 5/1. P.R.IV.5.a.12.

Raleigh O Jones, MD  
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#### PROGRAM STRENGTHS

The Review Committee noted the following strengths or areas of substantial improvement since the last review:

The Committee commends the program for the significant improvements in all areas of the residency since the last site visit.

#### REQUEST FOR PROGRESS REPORT

The Review Committee requests a progress report in which each of the following citations is addressed. This information is requested in triplicate by the date given above. As specified in the ACGME Institutional Requirements, the report should be reviewed and approved by the sponsoring institution's Graduate Medical Education Committee and co-signed by the Designated Institutional Official prior to submission to the ACGME. The Committee warned that an inadequate response to the following issues could result in a shortened review cycle. If you have concerns about the due date for the progress report, please contact the Review Committee Executive Director.

Citation(s) - # 1;

Of note, there is a lack of newborn direct laryngoscopy and tracheotomy in patients less than 2 years and this insufficiency should be carefully monitored by the program director.

The Committee requests a copy of the goals and objectives for the 5 years of otolaryngology education that is due by December 1, 2008.

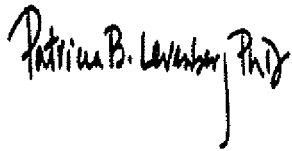
The Committee acknowledges receipt of a request for a permanent increase in the resident complement from a total of 7 distributed as 1-2-1-2-1 to a total of 10 distributed as 2-2-2-2-2. The Committee deferred its action until the February 2009 meeting when the program should provide the following information: the educational rationale for the increase, the block diagrams for the current and those projected years, the most recent operative data from the graduating chiefs when two are graduating in one year and/or the 2007-2008 operative data. This request is due by December 1, 2008, if the program desires to increase the resident complement.

The RRC plans to monitor the operative experience of your residents at its February meeting in 2010. The ACGME staff will provide the reports for the February 2010 meeting sometime after September 1, 2009. It is the responsibility of the program director to ensure that the data is current as of September 1, 2009. The program's cycle may be changed if there are concerns regarding the adequacy of the operative experience and available procedures

It is the policy of the ACGME and of the Review Committee that each time an action is taken regarding the accreditation status of a program, the residents and applicants (those invited for interviews) must be notified. This office must be notified of any major changes in the organization of the program. When corresponding with this office, please identify the program by name and number as indicated above. Changes in participating sites and changes in leadership must be reported to the Review Committee using the ACGME Accreditation Data System.

Sincerely yours,

Raleigh O Jones, MD  
Page 3



Patricia B. Levenberg, Ph.D.  
Executive Director  
Residency Review Committee for Otolaryngology  
(312)755-5048  
plevenberg@acgme.org

CC: Susan M. McDowell, MD

Participating Site(s):  
Veterans Affairs Medical Center (Lexington)  
University of Kentucky Hospital  
St Claire Medical Center  
Mary Chiles Hospital

### **Addendum to Department of Otolaryngology proposal**

The following questions were raised during the Senate Academic Organization and Structure Committee's review of the proposal . The information was shared with the committee prior to a formal vote.

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Who is to be appointed Chair? Will this be an acting Chair pending an external search, or an internal appointment for Chair? Is there a term, and a review process for Chair?

Response from Dean Emery Wilson:

Dr. Raleigh Jones will assume the chair of the department when established. He has been the division chief since its inception. The term for the chair and departmental review process is 6 years to coincide with the review of academic units.

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We have a few questions in terms of organization that we felt need to be clarified before we approve the proposal.

1. The leadership positions of the proposed department are not clear. An organizational chart the key leadership and faculty positions would help. Who reports to who? What positions would be "filled" with current personnel and which require external hires (such as the Vice Chair of Research)
2. Do you have an estimated time line for the accomplishment of key goals related to the new department? What happens immediately and what will be phased in or implemented in the future? (recruitment of faculty, new hires, interns and residents, grants etc. )
3. Will the new program have an impact on the relationship with Dentistry for research or treatment?

Response from Raleigh Jones:

1. We currently have 8 clinical and two PhD faculty members. Fortunately, we have been able to recruit 3 additional clinical faculty members that will begin this summer. The knowledge that this process to create a Department of Otolaryngology - Head and Neck Surgery was ongoing was key to these successful recruitments. The suggestion of the external review committee to hire a Vice Chair of Research is heartily endorsed by the entire faculty in Otolaryngology and will be our top priority in the next year. We are in the process of naming a Director of Medical Student education from our existing faculty members to oversee our educational efforts for the third and fourth year medical students. I currently hold the position as Residency Program Director but have already discussed naming a

Associate Residency Program director from our existing faculty members to transition to a new Residency Program Director after our next accreditation cycle in the fall of 2012. Each of these positions will report directly to the chair. This should fill out the administrative structure from the faculty perspective. We are currently in the process of developing for approval a job description for a departmental business administrator as well as an assistant to oversee the financial/HR aspects of the department. Both of these positions are included in next years budget and both will report directly to the chair.

2. As mentioned above, some of the additional faculty hires listed in the goals for our new department are already secured for this coming year. The recruitment of a Vice Chair for Research will begin this summer and will hopefully be completed by July 2012. This recruitment will help us fulfill the research goals we have set although our existing faculty will continue with their current research endeavors with enhanced opportunities to interact with the Markey Cancer Center. One of our new recruits this summer, Dr. Matt Bush, has already obtained some startup funding, research space and a seasoned mentor in Dr. Mark Evers as he pursues a new program related to tumor growth regulation in acoustic neuromas. The naming of a Medical Student education director will help us reach our goals in medical undergraduate education. Our expanded clinical faculty will enhance our ability to improve patient access, add additional outlying clinics and improve collaboration with other departments. Our current faculty is working with such a clinical load that any additional efforts at this point are not possible but the new faculty coming this summer will substantially improve this situation.

3. We currently work closely with the dental service in the care of many of our head and neck cancer patients. We also have a monthly joint head and neck trauma conference with Oral Surgery and Plastic Surgery. It is expected that our departmental status will substantially improve our interaction in research in oral tumors which represent a common area of clinical and research interest.

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Dr Jay Zwischenberger, Director of Surgery, was invited to comment on the proposal but declined to write a letter.

Dr Larry Cunningham, Division Chief for Oral and Maxillofacial Surgery, was invited to comment. His letter follows.



April 26, 2011

Dwight V Denison, PhD  
425 Patterson Office Tower  
University of Kentucky  
Lexington, KY 40506-0027

College of Dentistry  
Oral and Maxillofacial Surgery  
800 Rose Street, D-508  
Lexington, Kentucky 40536-0297  
859 323-6080  
fax 859 323-5858  
www.uky.edu

Re: Otolaryngology proposal for departmental status

Dear Dr. Denison,

I'm addressing this letter to you and your committee of the faculty senate examining Otolaryngology's proposal to become a department. In my position as division chief for Oral & Maxillofacial Surgery in the College of Dentistry I have worked extensively with the faculty in the division of Otolaryngology. We have a good relationship with our colleagues in ENT and do treat many patients together. Patient populations that benefit from combined treatment include head and neck cancer patients as well as craniomaxillofacial trauma patients.

Over the past several years we have had several research collaborations both with my division in particular, as well as other divisions in the College of Dentistry. Oropharyngeal tumors and their relationship to HPV and the genetic changes occurring in these tumors are a specific area of research interests common to both Otolaryngology and the College of Dentistry.

A final example of the collegiality between Otolaryngology and Oral & Maxillofacial Surgery in particular and the College of Dentistry in general is mutual support for faculty recruitment. There are frequent interviews with each of these disciplines with regard to new faculty recruits for both Otolaryngology and Oral & Maxillofacial Surgery. In addition there is a combined interest in the possibility of hiring a maxillofacial prosthodontist. This has been difficult in years past but is an example of something that could be enhanced with the establishment of Otolaryngology as a department.

Thank you for the opportunity to offer support for this proposal.

Sincerely yours,

A handwritten signature in black ink, appearing to read "Larry L. Cunningham, Jr.", with a stylized flourish at the end.

Larry L. Cunningham, Jr., DDS, MD, FACS  
Associate Professor, Residency Director  
Chief Division of Oral and Maxillofacial Surgery  
University of Kentucky

University Senate  
May 9, 2011

Names for Gen Ed

Motion from SC meeting, April 25, 2011: that all four names be sent to the Senate and that there first be a vote on all four, and striking the name receiving the fewest votes. (A vote will be held on the remaining three names, striking the name receiving the fewest votes, and then a final vote will be held on the remaining two names.)

- a. Building Leaders through Undergraduate Education (BLUE)
- b. CatsCore
- c. The U.K. Core: 21st Century Studies
- d. UK Core

April 20, 2011

Dr. Hollie Swanson, Senate Council Chair  
The Office of the Senate Council  
203 Main Building  
CAMPUS 0032

Dear Hollie

A major revision of the principal *Administrative Regulation* on promotion and tenure (AR 2:1-1) went into effect on July 1, 2010. First among several substantive changes codified in the revised AR was the concept of a “comprehensive tenure review.” I write to report on the University’s implementation of the comprehensive tenure review process.

Under the terms of a comprehensive tenure review, all tenure dossiers are sent forward from a college for a subsequent round of review, evaluation and final decision-making. No longer does a dean’s negative judgment of a dossier stop a tenure review at the college level. All parties, including deans, agree that the comprehensive tenure review process has greatly improved what is unarguably one of the most important and consequential review processes in this, or any, university. That said, the year’s experience over the past year has revealed one area of concern, which I’d like to address in the remainder of my letter.

In the current language of AR 2:2-1 on the comprehensive tenure review, the President of the University renders the final judgment on a tenure or promotion dossier. We quickly discovered, however, that having the President cast the final decision in those cases created an untenable situation for the subsequent appeals process after a negative decision. A formal appeal is typically lodged in the office one step higher in the reporting structure of the University. Certainly in matters as weighty as the decision to deny the granting of tenure, we would want the university official who adjudicates an appeal to come to the case with an unformed opinion. Furthermore, most tenure appeals are routed through the Senate Appeals Committee on Privilege and Tenure, which advises the President on such matters. The advice from the SACPT ought to inform the President’s thinking on a decision to which the President has not been a party, rather than challenge the President’s thinking on a decision the President has already made.

Therefore, I write to inform you that I will recommend to President Todd that the attached revision of AR 2:1-1 be approved and made effective July 1, 2011. In addition to a number of minor editorial changes, intended to enhance the readability of the document, the substantive change to AR 2:1-1 will assign final approval to the Provost in tenure and promotion cases. Upon appeal, the President will have the authority to sustain or reverse the Provost’s decision.

In summary, I believe that the change discussed above accomplishes two things: (1) It preserves and affirms the core principle of the comprehensive review, that all tenure cases, irrespective of the dean’s judgment, are sent forward for another round of review



by faculty and faculty administrators; and, (2) it protects the independence of the President as the arbiter of an appeal submitted by a faculty person whose tenure or promotion case has been disapproved by the Provost.

Please feel free to share my letter with the members of the Senate Council.

Yours sincerely,

Swamy

UNIVERSITY OF KENTUCKY  <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION <b>AR 2:1-1</b>	PAGES 1
	DATE EFFECTIVE  <u>XX/YY/ZZZZ</u>	SUPERSEDES REGULATION DATED <b>AR II-1.0-1: 3/27/91,  8/20/92, 4/30/93 1/25/94,  11/24/95, 7/1/98, 8/18/98,  1/11/99, 7/27/00, and  AR II-1.0-1, Parts I-III:  7/01/08, <u>7/01/09</u></b>

## PROCEDURES FOR FACULTY APPOINTMENT, REAPPOINTMENT, PROMOTION AND THE GRANTING OF TENURE

### I. Introduction

A university capable of educating its students for work and citizenship in the twenty-first century must have an outstanding faculty. These procedures and criteria have been developed for the purpose of continually improving the quality and performance of the faculty in order to enhance the quality of the University's programs and permit the University to achieve its multiple missions.

The review required for promotion and granting of tenure is a summative evaluation of both the candidate's accomplishments over the entire probationary period and the candidate's future scholarly potential. It is based on the criteria set out in the *Administrative Regulations*, which require a consideration of information (e.g., the evaluations of external reviewers) that might not be available for the annual performance and tenure progress reviews.

Faculty appointments are in educational units and shall be of three types: (1) tenure-ineligible appointments; (2) tenured or tenure-eligible appointments; and (3) post-retirement appointments. (GR X-B.1)

Before appointing a faculty employee, the educational unit must ensure that it has followed the established hiring policies and practices of the college, as codified in the college rules and unit rules, and all *Governing Regulations* and *Administrative Regulations* on appointments.

### II. Sources of Procedures and Criteria for Appointment and Advancement

#### A. Procedures

The procedures to be used in each educational unit for preparing recommendations for appointment, reappointment, promotion, and granting of tenure shall be those established by the University, the college and the faculty of the educational unit (GR VII.B). The University procedures are those established in the *Governing Regulations*, the *Administrative Regulations* and as may be

further elaborated by the Provost. In addition to the procedures prescribed here, college-level procedures may be established by the dean in consultation with the college faculty (GR VII.A.4). Additional procedures at the level of the educational unit (hereafter referred to as “the unit”) are established jointly (GR VII.A.5, 6) by the faculty of the unit and by the department chair, graduate center director, school director (~~when the school does not contain departments~~), or the dean in a college without departments or schools (all referred to hereafter as the “educational unit administrator”).

B. Criteria and Evidences of Activity

1. The University-level criteria and evidences of activity to be used in evaluations for appointment, reappointment, promotion, and tenure for the various faculty title series are specified in various sections of the *Administrative Regulations* as indicated below:

- (a) Regular Title Series – (see AR 2:2-1 and 2:2-2)
- (b) Extension Title Series – (see AR 2:3)
- (c) Special Title Series – (see AR 2:4)
- (d) Research Title Series – (see AR 2:5)
- (e) Clinical Title Series – (see AR 2:6)
- (f) Librarian Title Series – (see AR 2:7)
- (g) Adjunct Title Series – (see 2:8)
- (h) Emeritus Faculty – (see sub-section II.C.4 below)
- (ij) Lecturer Series – Unit criteria and evidences of activity, and procedures for appointment, reappointment, promotion, and merit review of Lecturers Series Faculty shall be developed by the faculty of those educational units that employ full-time Lecturer Series faculty and submitted to the dean of the college for approval (see AR 2:940).
- (ji) Voluntary Title Series – Criteria for academic ranks of voluntary faculty ~~are~~ shall be developed by the faculty of those educational units that employ Voluntary Series faculty and submitted to the dean of the college for approval, established upon approval by the Provost (see AR 2:109).

2. In addition to the above, each unit's faculty shall develop policy statements describing the evidences of activity in instruction, research and other creative activity, and service that are appropriate to their field(s), for use in guiding evaluations for promotion and tenure. The departmental statement is operative in the unit upon approval by the dean (GR VII.A.6.c). If no such statements are approved for a unit, then only the specifications of the University-level regulations shall be used for evaluation.

C. Other Faculty Appointments

1. Joint Appointments – The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment shall be processed independently and shall be considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments (see GR X.B.1(a)(ii)).

2. Faculty Employee Assignments at the Veterans Affairs and other academically affiliated non-UK hospitals and clinics – There are occasions when a regular faculty employee may be assigned to work at the Veterans Affairs or another non-UK hospital or clinic pursuant to an academic affiliation agreement. In such cases, salaries may be paid partially or totally by the University, or reimbursed by the affiliated institution. Faculty employees so assigned shall retain all the rights and privileges of regular faculty employees as described in the *Governing Regulations* and *Administrative Regulations* and are subject to all applicable University policies and procedures. Salary funding arrangements shall be defined by contract.

3. Named Professorships – Individuals appointed to named professorships shall meet all criteria for the rank of Professor and shall have acquired national recognition for excellence in instruction, research and other creative activity, or service in their disciplines. While normally reserved for exceptional professors, a named professorship may be granted to an exceptional associate professor. Each named professorship will provide specifically identified resources for program support of a professor, and it is ordinarily expected that a significant portion of the compensation and program support allocations will come from endowment income or extramural gifts (see AR 8:4 "Policies Governing Private Funding of Academic Positions"). In exceptional circumstances (e.g., the recruitment or retention of a member of the National Academy of Science) named professorships may be submitted by the President to the Board of Trustees for approval for which funding may derive from revenue sources other than endowment income or extramural gifts.

4. Emeritus/Emerita Faculty - Upon retirement, tenured faculty members shall retain their titles with the designation of "emeritus" or "emerita" (e.g.,

Professor Emeritus). Faculty employees with emeritus/emerita status are entitled to the following rights and privileges: to be included in faculty lists in University bulletins and, upon request, to be provided a mailbox in the appropriate educational unit; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, subject to availability and approval of the concerned educational unit); to have faculty library privileges; to apply for research grants and publication subsidies funded by the Office of the Vice President for Research; to receive University identification cards; to receive parking privileges as specified in University parking policies; to participate, upon invitation by the respective unit faculty, as non-voting members of departmental or college faculties; to use University recreational facilities upon presentation of suitable identification; to purchase tickets to athletic events with previous priority status; to hold membership in the University of Kentucky Federal Credit Union; to make purchases at the University Bookstore at the employee discount rate; to participate in academic processions; to be appointed to represent the University at academic ceremonies at other institutions; to receive notices of University events; and to take part generally with the faculties in all social and ceremonial functions of the University.

5. Temporary Faculty Employees - An individual whose assigned duties and responsibilities should be completed within one year or less may be appointed as a faculty employee on a temporary basis. Temporary appointees are not eligible for tenure; however, time spent in a full-time faculty appointment on a temporary basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series. Temporary faculty employees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs.

(a) Visiting Faculty - The designation "visiting" before an academic title indicates that the individual who holds an appointment at an academic institution or research center has been offered a temporary appointment for an academic year, semester, summer session, or other specified term not to exceed one year. The visiting title used should be appropriate to the appointee's home base academic rank (i.e., Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, or Visiting Instructor). Where the usual academic rank or title does not appear to be suitable, the title "Visiting Lecturer" shall be used. The final decision on such an appointment is made by the Provost upon recommendation of the educational unit administrator and the dean without reference to an Academic Area Advisory Committee. A visiting appointment is typically full-time, either salaried or unsalaried. The

appointment is temporary, by definition, and the visitor is not eligible for faculty benefits. A visiting faculty employee with a salaried full-time appointment is not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Visiting faculty are not eligible for membership in the University Senate, but faculty membership, with or without voting privileges, may be extended to visiting faculty by the faculty of the educational units to which they are academically appointed. Visiting faculty are not eligible for tenure; however, time spent in a full-time appointment on a visiting basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series.

(b) Part-time Faculty - Part-time faculty employees have an official faculty appointment, receive a salary, and participate substantially, but less than full-time, in the program of an educational unit. The dean makes the final decision on appointments of part-time faculty employees at any rank. The appointment shall be for one year or other stated period not to exceed one year, subject to renewal. Appointees are not eligible for tenure, sabbatical leave, or membership in the University Senate. Appointees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Faculty membership, with or without voting privileges, may be extended to part-time faculty employees by the faculty of educational units to which they are academically appointed.

### III. The Comprehensive Tenure Review

In a comprehensive tenure review, a dossier is reviewed at multiple levels of the University (educational unit, college advisory committee and dean, academic area advisory committee and Provost), ~~and President~~, irrespective of the judgment, favorable or not, at the previous level of review. Considerable deference in tenure cases shall be shown by the Provost to the judgments emanating from the college, especially in cases where the Provost has determined that those college-level judgments (unit faculty, educational unit administrator, college advisory committee and dean) are nearly unanimous, either for or against the granting of tenure. ~~Final action by the Board of Trustees, upon the recommendation of the President, shall result either in the granting of tenure and, where appropriate, promotion to the rank of Associate Professor, or the issuance of a terminal (one-year) reappointment contract.~~ The responsibilities of the Board of Trustees in tenure cases are codified in section IX of this *Administrative Regulation*. The exercise of a comprehensive tenure review shall not affect a faculty person's right to appeal a tenure decision on the grounds of procedure, privilege and/or academic freedom, as provided below (see section XI.B below), or to appeal as provided in the *Governing Regulations* (GR I.I).

A tenure-eligible faculty employee is entitled to one (1) comprehensive tenure review, which shall be completed no later than the end of the next-to-last year of the probationary period. A comprehensive tenure review shall also be extended to a new faculty employee whose initial appointment at the academic rank of Associate Professor or Professor ~~also~~ proposes immediate tenure. In addition, a comprehensive tenure shall be extended to a new faculty employee whose initial tenure-eligible appointment stipulates Professor (without tenure) and whose educational unit initiates a tenure review, and not a non-renewal of appointment, in the first year of service (see section VI.A.6 below).

#### IV. Tenure Consideration during the Terminal Contract Year

A. By waiving his or her right to a comprehensive tenure review in the next-to-last year of the probationary period (see section VI.A.4 below), a faculty employee forfeits his or her right to a comprehensive tenure review. However, the possibility of consideration for tenure during the terminal contract year, subject to the terms stated in section IV.B, immediately below, is not abridged.

B. After consultation with the unit faculty, an educational unit administrator may initiate a request to the dean for tenure consideration on behalf of a faculty employee who was placed on terminal contract either after a comprehensive tenure review or after waiving his or her right to a comprehensive tenure review (see section VI.A.4 below). If the dean finds insufficient evidence to warrant a new tenure consideration, the dean shall deny the request and notify the educational unit administrator that a terminal year consideration of tenure shall not be initiated. If the dean determines that the evidence in support of a favorable tenure decision has substantially strengthened, the dean may grant the request and authorize the educational unit administrator to initiate the review.

Once initiated, the terminal year tenure review shall be conducted in accordance with the procedural steps enumerated in sections VI-XIII below, except that the review process shall be stopped and the specified parties notified, if the dean ~~or Provost~~ renders a negative judgment on the tenure proposal. Prior to making his or her judgment, the dean and Provost shall obtain a written recommendation from the specified faculty advisory committee (see sections VII.B.2 and VIII.B.1 below).

#### V. Tenure Review Prior to the Sixth Year

An educational unit administrator may initiate a tenure review prior to the sixth year of probationary service if, in the opinion of the tenured faculty of the educational unit and the unit administrator, the individual's record of accomplishment across all areas of assignment is commensurate with the award of tenure. (The act of soliciting letters by the educational unit administrator from reviewers external to the University shall constitute the initiation of a tenure review.) The review shall follow the policies and procedures that govern the conduct of the sixth-year (tenure) review, as delineated in Section III above and Sections VI-XIII below.

However, unlike a tenure review conducted in the sixth year of the probationary period, a tenure review initiated prior to the sixth year can be suspended by the dean. The dean shall notify in writing the educational unit administrator of his or her decision to suspend the tenure review and indicate that the individual under review shall be entitled to an ordinary reappointment review at the appropriate time in that contract period and in subsequent contract periods.

A faculty employee whose tenure review has been suspended by the dean shall not be eligible for a subsequent tenure review until the sixth year of his or her probationary period. A sixth-year comprehensive tenure review of an individual whose previous tenure review was suspended by the dean shall be conducted according to the policies and procedures delineated in Sections III above and VI-XIII below. The educational unit administrator shall include in the sixth-year (tenure) dossier, in addition to the external letters solicited for the comprehensive tenure review itself, those evaluative letters from the previously suspended tenure review that were submitted by reviewers external to the University.

## VI. Procedural Steps Occurring at the Level of the Educational Unit

### A. Initiating the Review Process

1. Recommendations for appointment, reappointment, terminal reappointment, joint appointment, post-retirement appointment, decision not to reappoint, promotion and the granting of tenure, concerning faculty of any rank or title series, shall be initiated by the educational unit administrator.
2. Reviews for reappointment promotion—or granting tenure shall be completed in time for the affected faculty employee to be notified of the result in accordance with GR X.B.1(e). Except for circumstances identified in GR X.B.1(f)(i), a faculty employee being considered for the granting of tenure shall not be asked to sign a terminal reappointment contract prior to a final decision by the Provost to disapprove tenure.
3. During the second year at the rank of Instructor, the individual shall be considered for promotion or terminal reappointment effective in the third year, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a terminal reappointment.
4. An assistant professor shall be considered for promotion and tenure no later than the next-to-last year of a probationary period, unless the individual requests in writing that such consideration not be done because of the intent to resign or willingness to accept a terminal reappointment.
5. An associate professor without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a tenure-eligible associate professor shall be considered for tenure no later than the



next-to-last year of a probationary period, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a terminal reappointment.

6. A tenure-eligible professor shall be considered for tenure in the first half of a one-year probationary period, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a notice of non-renewal of appointment.

B. Consultations Conducted by the Educational Unit Administrator

Individuals who have defined or assigned administrative roles and participate in the decision-making at or above the level of educational unit administrator shall not be involved as consulted faculty employees in the educational unit in which they hold an academic appointment.

C. Consultation with Applicants and New Faculty

1. Either before or at the time of interview of an individual for a faculty appointment, the educational unit administrator shall inform the individual about those parts of the *Governing Regulations* and the *Administrative Regulations* that deal with appointment, reappointment, promotion and tenure and shall provide access to these regulations as requested. At the time an appointment is offered, an individual shall be informed of the criteria for academic ranks by the educational unit administrator.

2. The educational unit administrator shall inform all new faculty employees, including temporary faculty employees, (within one month of the beginning of their employment) of the existence and locations of the following University documents: (a) the *Governing Regulations*; (b) the *Administrative Regulations*; (c) the *Rules of the University Senate*, in particular the Faculty Code; (d) the rules and procedures of their college; (e) the rules and procedures of their educational unit; and (f) the *Student Rights and Responsibilities*. Access to any of these documents shall be provided by the educational unit administrator as requested.

D. Consultation with the Faculty Candidate for Promotion or Tenure

Prior to the initiation of a recommendation concerning tenure for an individual during the next-to-last-year of a probationary period, the educational unit administrator shall consult with the faculty employee as to whether the individual waives the exercise and thereby stops the consideration. Any such waiver shall be in writing to the dean and the dean shall offer the individual a terminal reappointment. An assistant professor or associate professor with tenure whose promotion to a higher rank has not been considered by an academic area advisory committee for a period of six years may request such

consideration by September 1 of the seventh or a subsequent year. The educational unit administrator shall make the individual aware of the option to submit such a request.

E. Assembly of the Dossier

1. The educational unit administrator is responsible for the assembly of a dossier associated with a faculty personnel recommendation. The dossier is prepared from materials in the Standard Personnel File (see below) and from additional materials supplied by the educational unit administrator and faculty employee. The dossier contents necessary for most faculty personnel actions other than annual faculty performance review are specified in Appendix II (Dossier Contents.) In the preparation of a joint appointment dossier, the educational unit administrator in the secondary department shall develop the dossier for the secondary appointment.

2. All written judgments from consulted individuals shall be obtained only through the request of the educational unit administrator.

3. Pursuant to Kentucky Revised Statutes KRS 61.878(3), the written judgments of persons consulted in connection with appointments, terminal reappointments, promotions, and tenure decisions shall be handled in a confidential manner but, upon request, the candidate has the right to review all letters placed in the individual's dossier. ~~are not confidential, and~~ ~~†~~The writers of such judgments shall be notified when their judgments are solicited that the candidate, upon his or her request, shall be granted access to all letters placed in the individual's dossier.

4. No materials will be made part of a faculty employee's dossier other than those described above and specified in Appendix II (Matrix of Dossier Contents), except with the written permission of the faculty employee under review.

F. The Standard Personnel File

1. There shall be one Standard Personnel File maintained for each faculty employee. The Standard Personnel File contains the Notice of Academic Appointment and Assignment form, curriculum vitae, the teaching credentials certification form and, if appropriate, the teaching credentials justification form, and transcripts of academic work leading to advanced degrees. This personnel file also contains many of the crucial materials, particularly evaluation materials, needed for or taken from the dossier, which are defined below. The file contains Distributions of Effort forms, correspondence between the individual and educational unit administrator concerning academic employment conditions and salary, faculty merit or other evaluation reports, evaluations prepared by committees and those of educational unit administrators, and all other professional

evaluation reports. The file shall also contain materials related to responsibilities that the faculty employee has to governmental or other agencies. The file contains regularly updated assessments of effectiveness in instruction, research and other creative activity, and service.

2. The Standard Personnel File shall be updated regularly and in particular completed by actions of the educational unit administrator, and also actions of the faculty employee. The faculty employee shall update his or her curriculum vitae annually and such other documents as he or she deems appropriate. The educational unit administrator shall update files as necessary to keep them reasonably current.

3. Unsolicited materials relevant to professional function may be included in the Standard Personnel File by the educational unit administrator provided the faculty employee sees them and is offered the opportunity to document his or her response to them. The faculty employee's written responses shall be placed by the educational unit administrator in the individual's Standard Personnel File.

4. The Standard Personnel File shall be kept in the office of the educational unit administrator or in the office of the dean as deemed appropriate for each educational unit by the dean. No other Standard Personnel File shall be kept. The Standard Personnel File shall always be available to the faculty employee and to such other persons who he or she authorizes in writing to see that file. The Standard Personnel File is always accessible to the educational unit administrator or higher administrative officer who is responsible for its maintenance and to such administrators superior to him or her who request access to the file.

5. The Standard Personnel File may contain communications to or from the faculty employee, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or the granting of tenure.

G. Consultation with the Faculty in the Educational Unit

1. An educational unit administrator shall consult with appropriate faculty employees of the unit in preparing recommendations for appointments, reappointments, promotion and/or the granting of tenure, as delineated above, such consultation being in accordance with *Governing Regulations* section VII.B.5. See also Appendix I (Matrix of Consultations and Written Judgments).

2. The following provisions apply to the solicitation of outside letters by the educational unit administrator:

(a) A promotion or tenure dossier shall include a minimum of six (6) letters of evaluation from qualified persons outside the University. These outside letters are crucial in promotion and tenure reviews.

(b) The letters from outside of the University shall be obtained by the educational unit administrator directly from appropriately qualified persons selected in part from, and in part independent of, suggestions of the individual being considered for promotion or tenure.

(c) At least four (4) of the letters from outside of the University shall come from reviewers selected by the educational unit administrator independent of the candidate for promotion or tenure.

(d) Outside letters from scholars at research-oriented universities shall be given the most serious consideration, except in promotion and tenure reviews involving faculty employees whose assignments do not include significant research responsibilities. Where deemed appropriate by the unit administrator, letters from persons affiliated with prestigious non-academic institutes, centers or specialized schools may be used.

(e) The letters from outside of the University shall be accompanied in a promotion and/or tenure dossier by a written statement by the educational unit administrator indicating for each letter whether or not the name of the respondent had been suggested by the individual under consideration and, if known, whether or not the respondent had been a previous faculty colleague of the individual.

3. The educational unit administrator shall notify the consulted faculty employees when the dossier is available for their review. All letters from outside of the University received shall be included in the dossier and made available to consulted faculty employees prior to their providing individual written judgments to the educational unit administrator. The consulted faculty employees shall be expected to read and consider the contents of the dossier, including the outside letters, on matters of appointment, reappointment, promotion and/or the granting of tenure, before providing individual written judgments to the educational unit administrator.

H. Recommendation of the Educational Unit Administrator to the College Dean

The educational unit administrator shall add to the dossier all written judgments received from the unit faculty, and his or her written recommendation, and forward that completed dossier to the dean. Where disagreement occurs between the educational unit administrator and the consulted educational unit faculty concerning a recommendation,

the educational unit administrator shall report this difference with adequate documentation to the dean and also notify the consulted unit faculty regarding such action.

## VII. Procedural Steps Occurring at the Level of the College

### A. Completeness of the Dossier

The dean shall review the dossier for completeness (see Appendix II) and procedural compliance. If the dossier is not complete or procedurally compliant, the dean shall direct the educational unit administrator to secure the missing materials or procedural compliance and, as appropriate, to allow the consulted unit faculty to examine the new materials and contribute new consultative input to the educational unit administrator or to submit new written judgments.

### B. Consultation with College Advisory Committee on Appointment, Reappointment, Promotion and Tenure

1. Each college with at least two educational units (e.g., departments, schools and graduate centers) within the college shall have a college advisory committee comprised of tenured faculty members from the college faculty, excluding educational unit administrators and assistant/associate deans. The college advisory committee shall be concerned with policy matters on, and individual cases related to, faculty appointment, reappointment, promotion and the granting of tenure. Its members may be elected by the college faculty, or appointed by the dean after consultation with an appropriate faculty body of the college as documented in the College Rules. Upon prior recommendation by the college faculty and approval of the dean and the Provost, a large college comprised of multiple departments representing a diversity of academic disciplines may establish multiple college advisory committees. Such an arrangement shall be documented in the College Rules.

2. Prior to making a recommendation or decision on terminal reappointments or decisions not to reappoint, the dean shall provide the dossier to the college advisory committee, and obtain its written recommendation ~~advice~~.

3. The dean shall also obtain a written recommendation from the college advisory committee whenever an assistant professor, associate professor, or professor is considered for promotion and/or tenure.

4. A written recommendation from the college advisory committee ~~shall~~ should also be sought for initial appointments at the ranks of associate professor or professor.

5. A member of a college advisory committee or an academic area advisory committee shall be excluded from any participation in that committee's consideration of a recommendation initiating from the educational unit in which the faculty employee holds an primary academic appointment. He or she shall participate fully in the unit-level evaluation of those candidates. Persons shall not serve at the same time as a member of both a college advisory committee and an academic area advisory committee.

C. Actions Taken by the Dean

1. The dean of a college shall make the final University decision to approve or disapprove a recommendation for those actions specified in Appendix III (Matrix of Authority of the Dean) as being delegated to the dean's final authority. The dean shall notify the candidate in writing of the action taken, with a copy of that notification to the educational unit administrator, and as specified in Appendix III the dean shall communicate the action taken through the Provost to the President to be reported to the Board of Trustees.

2. If a dean disapproves an educational unit administrator's recommendation for reappointment at any rank and offers a terminal reappointment instead, but the tenured members of the unit faculty reaffirm their positive judgment by majority vote and the educational unit administrator reaffirms his or her positive recommendation for reappointment, the Provost shall refer the matter to the pertinent academic area advisory committee.

3. In actions for which the dean is not delegated final approval (see Appendix III), the dean shall obtain, as appropriate, the written recommendation from the college's advisory committee, and then act upon the recommendation from the educational unit administrator. If the dean approves a positive recommendation or overturns a negative recommendation of the educational unit administrator, the dean's written recommendation and the written recommendation of the college advisory committee, shall both be added to the dossier and forwarded to the Provost.

4. In cases involving a comprehensive tenure review, the dean shall first obtain the written recommendation from the college's advisory committee on the tenure recommendation ~~off from~~ the educational unit administrator. The dean shall then reach a judgment on the recommendation from the educational unit administrator. Finally, the dean shall add to the dossier both the written recommendation of the college's advisory committee and the dean's written recommendation, and forward the dossier to the Provost.

VIII. Procedural Steps Occurring at the Level of the Provost

A. Completeness of the Dossier

The Provost shall ensure that the dossier is complete and procedurally compliant. (Appendix II) If the dossier is not complete or if there is procedural noncompliance, the Provost shall direct the dean to secure the missing materials or the procedural compliance and, as appropriate, to allow the consulted unit faculty, the educational unit administrator, the college advisory committee, and the dean to examine the materials and contribute new consultative input or to submit new written judgments or recommendations.

B. Recommendations from Academic Area Advisory Committee

1. Academic Area Advisory Committee

(a) The Provost shall forward the dossier to the appropriate academic area advisory committee for all cases involving appointment at, or promotion to the rank of Associate Professor or Professor, or the granting of tenure. In those cases that have not received near-unanimous support from all lower-level reviewers (external letter writers, unit faculty and educational unit administrator, college advisory committee and dean) the Provost shall require a written evaluation from the academic area advisory committee. The academic area advisory committee may elect to submit to the Provost a written evaluation on any case assigned to that committee. If the Provost is inclined to render a negative judgment on a case that has received near-unanimous support from all lower-level reviewers, but which has not been recommended on by an academic area advisory committee, the Provost shall first obtain a written recommendation from an academic area advisory committee.

(b) For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment, the Provost shall refer the matter to the appropriate academic area advisory committee for an independent written evaluation. The committee in its deliberations shall address itself to the individual's scholarly potential, ability as an instructor, and other professional qualifications indicative of a probable eventual tenured appointment and shall submit a written recommendation to the Provost.

(c) An academic area advisory committee may request the written advice of an ad hoc committee (appointed by the Provost) for further evaluation before returning the dossier with the ad hoc committee's written advice, and the academic area advisory committee's written recommendation, to the Provost.

C. Actions Taken by the Provost

1. The Provost shall make the final University decision to approve or disapprove a recommendation concerning ~~V~~visiting ~~†~~Title ~~s~~Series faculty and promotion to Senior Lecturer. The Provost shall communicate approval through the President to the Board of Trustees and convey the substance of his or her final action (approval or disapproval) in writing to the dean. The dean shall notify the candidate in writing with a copy of that notification to the educational unit administrator.

2. For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment, the Provost shall refer the matter to the pertinent academic area advisory committee and request a written recommendation. After reviewing the dean's recommendation, the material forwarded through the dean from the educational unit and the written recommendation from the academic area advisory committee, the Provost shall either approve the proposal for terminal reappointment and report the action through the President to the Board of Trustees and notify the dean in writing, or disapprove and stop the terminal reappointment proposal and notify the dean in writing of the Provost's decision for reappointment. The dean shall notify the candidate in writing of the Provost's decision, with that notification by the dean being copied to the educational unit administrator.

3. For ~~proposalseases~~ involving the consideration of initial appointment (with or without tenure), reappointment, promotion, or the granting of tenure in the terminal year of a probationary period, the Provost shall review the dossier and all recommendations and either make a positive recommendation through the President to the Board of Trustees, which shall take final action, or disapprove, stop the personnel action and notify the dean. The dean shall notify the candidate in writing with a copy of that notification to the educational unit administrator. ~~forward a positive recommendation to the President of the University, or stop the evaluation process and inform the dean in writing of that decision. The dean shall notify the candidate in writing with a copy to the educational unit administrator.~~

4. In cases involving a comprehensive tenure review, the Provost shall first consider the written recommendation, if any, from the appropriate academic area advisory committee (see section VIII.B.1). The Provost shall then reach a judgment on the recommendation of the dean and either make a positive recommendation on the tenure case through the President to the Board of Trustees, which shall take final action, or disapprove, stop the tenure review and notify the dean. The dean shall notify the candidate in writing with a copy of that



~~notification to the educational unit administrator. The Provost shall then reach a judgment on the recommendation from the dean. Finally, the Provost shall add to the dossier both the written recommendation, if any, of the academic area advisory committee and the Provost's written recommendation and forward the dossier to the President.~~

~~IX. Procedural Steps Occurring at the Level of the President~~

~~The President shall review the Provost's recommendation and either make a positive recommendation on the tenure case to the Board of Trustees, which shall take final action, or disapprove, stop the tenure review and inform the Provost in writing. In the latter case, the Provost shall inform the dean in writing, who shall notify the candidate in writing with a copy of that notification to the educational unit administrator.~~

~~IX. Procedural Steps Occurring at the Level of the Board of Trustees~~

~~A. The Board of Trustees shall take final action on the proposal by approving or disapproving the Provost's ~~President's~~ recommendation. The President, through the Provost, shall inform the dean in writing of the Board's action. The dean shall notify the candidate in writing with a copy of that notification to the educational unit administrator.~~

~~B. The Notice of Academic Appointment and Assignment form constitutes the official appointment record. With the exception of salary, the precise terms and conditions covering each appointment shall be stated in writing on that form. The appointment, including salary, becomes final when it is approved by or reported to the Board of Trustees.~~

~~C. Notice of reappointment for tenure-eligible faculty shall be processed in a timely manner, preferably at least three months before the renewed appointment begins. It shall be the responsibility of the Provost to ensure compliance with this regulation.~~

~~D. The ending date of the probationary period in a tenure-eligible appointment shall be set by the dean prior to signing the initial Notice of Academic Appointment and Assignment form and shall not exceed seven years from date of initial appointment, except as permitted in GR X.B.1(c). Previous full-time service with the rank of Instructor or higher at another institution of higher learning may be counted as part of the probationary period as negotiated between the appointee and the dean prior to initial appointment. Time spent in a full-time faculty appointment on a visiting or temporary basis at the University of Kentucky may be counted as a part of the individual's probationary period, as negotiated between the appointee and the dean, should the individual subsequently be appointed to a regular, full-time faculty position in a tenure-eligible title series.~~

XI. Procedural Steps Involving a Negative Recommendation to Reappoint, Promote or Grant Tenure.

A. Whenever a recommendation is disapproved at any level, this fact shall be reported back to the preceding level(s) and an opportunity provided for a thorough discussion of the recommendation among the concerned parties.

B. Any related formal appeal(s) to the President Provost concerning procedural matters or privilege or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom shall be initiated in writing by the faculty employee within 60 days after being notified in writing by the dean of the disapproval of the recommendation to reappointment, promote or grant tenure. When such an appeal to the University Senate Advisory Committee on Privilege and Tenure has been initiated in writing by a faculty employee, the chair of that committee shall inform the appropriate dean and Provost of that development.

~~C. A faculty employee may request a meeting with the dean to discuss informally the circumstances surrounding the non-renewal of appointment, the denial of promotion and/or the granting of tenure. If the faculty employee is not satisfied with this conference, a related conference with the Provost may be requested.~~

XII. Final Disposition of the Dossier

At the conclusion of processes leading to negative decisions about appointments, reappointments, promotions or the granting of tenure, the dossier shall remain intact during the sixty (60) day period for filing an appeal, or, in cases where a formal appeal has been filed, until such time that a final decision has been rendered. Thereafter, the dossier shall not be retained, although all evaluative letters and reports or reviews contained in the dossier shall be added to the faculty employee's Standard Personnel File. Representative examples of research and other creative activity included in the dossier as it was developed shall be returned to the faculty member for his or her retention. The teaching portfolio, or teaching materials submitted by the faculty employee, shall also be returned to the faculty employee.

XIII. Appendices

- A. Appendix I – Matrix of Consultation and Written Judgments
- B. Appendix II – Dossier Contents
- C. Appendix III – Matrix of Authority of the Dean

**Proposed Administrative Regulation: *Office of International Affairs* DRAFT 4/22/11**

**I. INTRODUCTION**

The purpose of this regulation is to articulate guidelines that apply to international education travel sponsored by the University, whether credit-bearing or non-credit-bearing.

**II. POLICY**

All participants in University-approved or -sponsored international education travel programs (defined in section III), irrespective of enrollment status, must successfully apply/register their international education experience online with the Education Abroad office, comply with guidelines regarding academic advising and risk management, attend any required orientations, and pay all applicable tuition, administrative and program fees.

This policy applies to 1.) arrangements for individual students to travel abroad for educational purposes (i.e., education abroad, research, internship, etc.) and 2.) international group travel of two or more students accompanied by a University employee with a purpose that is relevant to the University's academic mission. Each group travel experience abroad must be approved at the appropriate University level, and a University employee is required to accompany the group. The employee is in charge of the activity and must be acting within the scope of his or her employment.

**III. INTERNATIONAL EDUCATION TRAVEL PROGRAM CATEGORIES**

Review by the Education Abroad office is required before any international education travel program may be advertised or represented as approved by or sponsored by the University. Registration with the Education Abroad office is required for participants in the following types of international programs:

- a. ***Education Abroad.*** International programs offered for academic credit exclusively outside the United States. This includes all full year, fall, spring, winter intersession or summer semester programs. All programs are administered by Education Abroad in collaboration with other UK academic units and partner institutions located within the United States and abroad. Also included are faculty-led and reciprocal exchange programs.
- b. ***Embedded Education Abroad.*** International programs offered for academic credit that include a brief experience abroad as a minor component of a course (one credit or less) for which most of the content is provided within the United States. This category generally includes short-term, usually faculty-led, group travel programs for which an international excursion is supplemental or embedded within an academic course.
- c. ***Independent International Study and Research.*** All other credit-bearing, international education travel. This category generally includes credit-bearing independent study, research, internship, or clinical rotations.  
This does not include independent, non-credit-bearing experiences abroad, as such travel is not considered University-sponsored. Graduate/professional students enrolled in independent research study (e.g. 767 credit) are invited to register with EA for risk management purposes, but are only required to register if their international experience is UK-funded.
- d. ***Non-credit International Programs.*** International group travel programs sponsored by a University college or unit, offered outside the United States exclusively or in part, and for which participants do not earn academic credit. This category may include non-credit service-learning or clinical international programs.

**IV. RESPONSIBILITIES**

- a. ***Administration (Provost, Associate Provosts, Deans, Director of Education Abroad)***

The University administration is responsible for maintaining policies and processes regarding international education travel programs that are consistent with national norms and best practices; that are transparent to the University Senate and all faculty, staff, and students; that uphold the academic standards and expectations of

professional conduct of the University; and that support the Education Abroad Business Plan approved by the Provost Budget Office. These responsibilities include attention to student safety and the management of institutional risk, insofar as is consistent with national norms and feasible in the context of a public research university.

b. ***Faculty/Staff Supervising EA Programs***

UK faculty members are responsible for appropriate advising and evaluation of credit-transfer equivalency, for course credits earned at international sites. UK faculty and staff who directly supervise student groups in international settings are responsible for observing all norms of conduct including preparation and distribution of course-appropriate syllabi, confidentiality of student records, appropriate financial controls, and standards of academic assessment. Faculty and staff who directly supervise student groups abroad are also responsible for attending training sessions sponsored by the Education Abroad office, maintaining appropriate communication with the Education Abroad office, and adhering to emergency management protocols.

c. ***Students***

All students participating in University-approved or -sponsored international education travel programs are responsible for abiding by the Student Rights & Responsibilities document, which includes the Code of Student Conduct as well as the University of Kentucky Alcohol Policy. Students from healthcare colleges are also responsible for abiding by the Healthcare Colleges Code of Conduct, as well as by additional policies related to clinical professional education and housed within the colleges. As appropriate, students are responsible for obtaining academic advising in order to ascertain whether credits earned abroad will be accepted as transfer credit by the University of Kentucky.

## **V. CREDIT TRANSFER & GRADING**

The University accepts collegiate-level degree credits earned abroad in accordance with the *Kentucky Postsecondary Education Transfer Policy*. Transfer work from institutions outside the United States is evaluated on an individual basis from official transcripts, processed through the Office of the Registrar. The Office of Undergraduate Admissions and University Registrar generally determine the transferability of completed course work. Then, the designated faculty member of the appropriate department or college determines how the transferred coursework applies toward degree requirements. Grade point averages (GPA's) from other institutions do not transfer to the University.

## **VI. INSURANCE**

Program participants of any UK-approved international education travel program, whether credit-bearing or non-credit-bearing, are required to purchase Travel Medical Insurance through the Education Abroad office. The Education Abroad office may grant exceptions in cases when students have existing coverage that meets the minimum standards of the University or are participating on external programs that offer uniform coverage that meets the minimum standards of the University. No exceptions are granted to participants of University of Kentucky faculty-led group travel programs. Students, faculty, staff members, or external participants who participate in clinical international programs sponsored by the University of Kentucky-, whether credit-bearing or non-credit bearing, must also purchase or possess malpractice insurance that meets the minimum standards of the University.

## **VII. RISK MANAGEMENT**

The University operates under the presumption that students should not pursue academic activity in a country for which a U.S. Department of State Travel Warning is in effect. However, the University will consider exceptions on a case-by-case basis. Exceptions are based upon petitions submitted by each student or faculty member proposing the travel, and are reviewed by a standing advisory committee composed of members of the International Advisory Council, along with relevant University staff members (Legal Counsel, Risk Management). The review committee will make a recommendation to the Associate Provost for International Programs, who will consult with the College dean, or designee, and then make the final decision.

The International Advisory Council is comprised of 1-2 representatives from each college or school, appointed by the dean. The Council has several standing advisory committees, one of which is the Education Abroad Advisory Committee. This Committee is charged with reviewing petitions to pursue academic activity in a country where a U.S. Department of State Travel Warning is in effect and to serve in an advisory capacity to the director of Education Abroad at UK and the associate provost for International Programs on protocols for education abroad programming.