

I. PROCEDURE FOR PROVIDING ADVICE TO THE PRESIDENT
ON THE APPOINTMENT AND PROMOTION OF FACULTY MEMBERS

Purpose

1. To seek broad participation in the advisement of the President on the appointment and promotion of faculty members.
2. To encourage, as part of a standardized appointment and promotion procedure, the development of consistently high quality throughout the University.
3. To utilize full University resources in the evaluation of potential new faculty and the promotion of present faculty.
4. To insure the participation of both faculty and administration in these evaluations.

Procedures

1. Action of the Department Chairman (The title of "Department Head" was changed to Department Chairman by the Board of Trustees on October 18, 1963.)

Recommendations for new appointments and promotions will normally be initiated by department chairmen and sent to the dean of the college. Accompanying the recommendations will be supporting data which will include evidence of consultation with tenure members of the department on the individual and evidence of consultation with appropriate persons outside the department, college, and University. Other material which should be included is the individual's educational background, indications of teaching, research, and service experience, accomplishments and potential.

2. Action of the Dean

- a. Instructors: The dean shall have the authority to appoint instructors. He will report his action directly to the President.

b. Professorial Ranks: The dean will forward recommendations on assistant professors and above together with his own recommendations to the President.

3. Initial Action by the President

- a. In each case the President will forward the file to the appropriate Area Academic Personnel Committee of the University Faculty.
- b. Four such committees will be established and will be discussed in more detail later. The four areas will be:
1. Biological and medical sciences
 2. Humanities and the arts
 3. Physical and engineering sciences
 4. Social sciences

Action of the Area Academic Personnel Committee

In the case of an appointment or promotion to the rank of assistant professor the Area Committee will normally make a recommendation directly to the President, but they may recommend individuals to constitute an ad hoc review committee. For appointments or promotions to the associate or full professor rank the Area Committee would normally recommend to the President members for a review committee. This review committee appointed by the President would consist of individuals in the area of specialization of the nominee, both in and outside his department and college.

5. Review Committee

Following its appointment by the President, the Review Committee would constitute a confidential and strictly anonymous body to evaluate the various aspects of

the individual's teaching, research, and service as outlined in a later section on criteria. With the completion of the Review Committee's work, the total file and a recommendation will be sent to the Area Academic Personnel Committee where it will be reviewed and sent with its comments to the President.

6. President's Action

Upon receipt of the Area Academic Personnel Committee's recommendation, based on the recommendation of the Review Committee, the President shall make his decision. In doing so he may consult with other appropriate individuals. The President shall act in the case of assistant professors and report to the Trustees. For associate and full professors, the Board shall act upon the recommendation of the President. No commitment, implied or otherwise, on appointment or promotion in the professorial ranks is to be made by a department chairman or dean until word is received from the President.

Official C-PR-1 forms are not to be processed until the man has been approved.

7. Review at Time of Tenure

At the time an individual is nominated for full tenure, the same review procedure will be applied.

Purpose

To provide confidential advice to the President on the appointment or promotion of a faculty member.

Selection and Length of Service

Each review committee will be appointed by the President after recommendations from an Area Academic Personnel Committee on an ad hoc basis to consider one case. Following its report, it will disband. In order to maintain its effectiveness each committee's membership, deliberation, and recommendations will be strictly confidential.

Procedure

The review committee will receive from the President the file on the individual under consideration, including the department chairman's and dean's recommendations and the supporting data supplied by the department chairman. The individual will then be considered in terms of evaluation criteria for appointment and promotion. Since the members of the committee will have been chosen for their familiarity with the field of the individual being considered, they will be expected to pay particular attention to the quality of his work. They must, therefore, consider not only the present fitness of each candidate, but his potential for pursuing a productive career.

If the review committee feels that the supporting data supplied by the department chairman are not sufficient to arrive at a recommendation, they may request more information through the President.

Report

The report of the review committee which will be sent to the President through the Area Committee forms the basis for further consideration by the Area Academic Personnel Committee and the President. Therefore, it should include an evaluation of all the evidence which relates to their conclusions in the case, both favorable and unfavorable. It should be specific and include an evaluation of the candidate in each of the areas considered in the criteria for appointment and promotion.

A definite recommendation must be made. Lacking a unanimous decision, dissenting statements should be made part of the report. Since in many appointment cases time is a critical factor, the report should be made as expeditiously as possible.

Responsibility

The review committee must constantly be aware that the quality of the University of Kentucky will be maintained only through their objective and thorough appraisal of a recommendation. They will have the major responsibility for recommendations to the President which will both build and maintain a faculty of the highest excellence and give just recognition and encouragement for achievement.

II. CRITERIA OF EVALUATION FOR FACULTY APPOINTMENT, PROMOTION, AND MERIT INCREASES

Four areas of activity are important in the evaluation of faculty for appointment, promotion, and merit increase:

1. teaching, including both formal classroom activities and informal influence on students' growth
2. research and other creative productivity
3. professional status and activity
4. University and public service

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

Teaching

The following sources of information may be used in conjunction with others in evaluating teaching ability: (1) class visitation, including evaluation of public lectures; (2) the judgments of superior students and graduates; and (3) the subsequent accomplishments of his major students.

Included in the final report should be sources of information used and evidence of the individual's teaching effectiveness at the lower division, upper division, and graduate levels.

Conscientious but routine teaching and advising are no argument for promotion, but distinguished teaching and work with students are. Furthermore, recognizing that learning goes on both inside and outside the classroom, it is necessary to evaluate the teacher's role and activities in both of these areas.

Classroom: In the case of new appointments, there must be a consideration of the individual's potential as a teacher. In considerations for promotion it should be recognized that an ability to organize material, communicate concepts, manifest significant understanding and enthusiasm for the subject matter through lecture, discussion, dialogue or other means is a prime requisite of a teacher. Also fundamental is the ability to arouse curiosity and stimulate students to independent, creative work. The teacher should have the capacity to awaken in students an awareness of the relationship of his subject to other fields of knowledge. He should have the ability to evaluate student achievement and view this evaluation as reinforcement of the objectives of the course. Finally, he should be constantly seeking to improve his effectiveness as a teacher.

Outside the Classroom: The teacher should demonstrate a continuous growth in his field. Through informal student contact, discussions, and skillful guidance and counseling outside the classroom he should exemplify those intellectual values he supports in the classroom. Recognition should also be taken of a faculty member's contribution to student welfare through service on student-faculty committees or as an adviser to student organizations.

Research and Other Creative Productivity

Since no criteria can be listed which might be generally applicable to all research or artistic production, the comments in this section will be directed more to techniques of evaluating research and other creative work. The individual must show evidence of continuous research or creative activity in his particular field -- activity judged by others in his field as being of high quality. In reviewing an individual's work, evaluation of quality must be considered much more important than simply the enumeration of items produced. There should also be an evaluation of work in progress since certain types of research or creative work involve a

longer period from germination to fruition than do others. Evaluation from outside the institution in most instances is essential especially in the arts where objective criteria are more difficult to develop. Finally, consideration should be given to the type of creative activity normally expected in the candidate's field.

Textbooks or similar general synthetic publications, if they develop new ideas or constitute scholarly research, should be viewed as evidence of research, otherwise they should be considered as contributions to teaching or public service.

Professional Status and Activity

The demonstration that the abilities of the individual under consideration are recognized and appreciated outside the University should be important in evaluation. Invitations to review the work of other scholars, teach at other institutions, give lectures or read papers before professional or public groups, serve as a consultant or on committees, or as an officer of a recognized professional society, and service as an editor for a scholarly publication, all suggest professional status, competence, and activity that are a reflection of ability.

Care must be taken, however, to discriminate between quality and quantity, for activity itself must not be used as a criterion. There must be proof that genuine influence and leadership have been exerted. Recognition must also be made of special kinds of activity dictated by individual fields, especially in professional schools and colleges.

University and Public Service

In a University where academic objectives are to be the guiding principle of development, the faculty must play an important role in the formulation of

policy and administrative action. Therefore, in evaluating an individual for promotion, recognition must be given to scholars who participate effectively and imaginatively in faculty government, in the formation of departmental, college, and University policy and who prove themselves able administrators. Participation in University affairs may reasonably be expected to increase with rank. Nevertheless, active and effective participation on committee work must not be a continuing reason for not evaluating research and teaching development.

Services to the community, state, and nation should also be recognized as evidence for promotion, keeping in mind that higher education and research are the unique functions of the University. Care must be taken to separate activity on the community level which is personally motivated as opposed to that which emanates from the role of the individual as a scholar. The University has no obligation to promote individuals simply for public service which has little relationship to their University work.

Balance and Intellectual Attainment

Each of the areas discussed above is important, but the evaluation of an individual should involve reasonable flexibility. Consideration should be given to a heavier work load in one area of activity against a lighter in another. The individual's unique balance, abilities, and emphasis on one area and the characteristics of various fields which put demands of a special kind on an individual should be a factor in evaluation. Nevertheless, a major consideration in any appointment or promotion which carries tenure must be superior intellectual attainment as evidenced both in teaching, and in research or other creative activity.

General Criteria for Ranks

Although it would be impossible to specify the exact criteria for judging an appointment or promotion to any one particular rank, a few general statements are made as guides to review committees.

Assistant Professor: Appointment or promotion to the rank of assistant professor should be made when it has been determined that the individual has a current capability for good teaching, research, and University service and a potential for significant growth in these areas.

Associate Professor: The promotion to associate professor should be made only after an indication of continuous improvement and contribution of the individual both as a teacher and a scholar. Furthermore, the individual should have earned some recognition for excellence in his field.

Professor: A promotion to the rank of full professor is an indication that in the opinion of colleagues, this individual is an outstanding, mature scholar who has earned national and perhaps international recognition. It should be further stressed that this rank is a recognition of attainment rather than of length of service.

III. PROCEDURE FOR THE APPOINTMENT AND REVIEW OF DEANS AND DEPARTMENT CHAIRMEN

Purposes

To provide a consistent University-wide procedure for the appointment of deans and department chairmen.

To institute a periodic review of deans and department chairmen utilizing a faculty advisory committee which would make recommendations to the President.

To institute the concept of the department chairmanship which would normally be a rotating position.

Deans

Appointment: The appointment of a dean shall be initiated by the President. In reviewing nominees he will consult with an ad hoc faculty advisory committee appointed by the President from a list of names proposed by the Faculty Council. The President may also consult other individuals within or outside the University prior to his final recommendation. Final action will be taken by the Board of Trustees on the recommendation of the President.

Review: As early as the beginning of a dean's fifth year of service and not later than the beginning of the seventh year, the President shall request from an advisory committee of the faculty a review of the accomplishments of the dean. This committee will be appointed from a panel of names prepared by the Faculty Council. Upon receipt of the report of this committee and after consultation with the dean, the President shall decide whether the dean should continue in office. When a dean is to be reappointed the President shall make this recommendation to the Board of Trustees who will make the appointment.

Department Chairmen

The administrative head of a department will be a chairman. This position will normally rotate among the senior members of a department and this position should be viewed as part of the responsibility of a senior faculty member.

Appointments: Departments shall be administered by a department chairman who will be appointed on a year by year basis, usually for a four-year term. When a vacancy occurs the dean shall consult with the tenure members of the department and obtain a list of nominees for the position. These will then be forwarded along with the dean's recommendation to the President. The President will normally make the appointment after consultation with the dean but occasionally he may appoint an advisory committee from a list of names suggested by the Faculty Council to examine the nomination first.

The chairman will normally serve for a period of four years except in departments of the Colleges of Agriculture and Medicine where the normal period of service shall be six years. This greater length of appointment is based on the nature of the long-term research programs in these areas as well as the necessity for a greater degree of continuous contact within the profession and with industry and the general public.

Review: A chairman will be reappointed beyond the four-year or six-year period of his occupancy in this position only after review by an appropriate faculty advisory committee appointed by the President from a list of names suggested by the Faculty Council. The chairman may be reappointed for a second term but only in exceptional cases after two terms.