

RULES OF THE FACULTY OF THE COLLEGE OF ARTS AND SCIENCES  
Table of Contents

Rules of the Faculty of the College of Arts and Sciences

I.	<a href="#"><u>Organization</u></a>	2
II.	<a href="#"><u>Dean of the College</u></a>	2
III.	<a href="#"><u>The Faculty</u></a>	3
IV.	<a href="#"><u>Department Chairpersons and the Council of Chairs</u></a>	3
V.	<a href="#"><u>College Executive Committee</u></a>	4
VI.	<a href="#"><u>Educational Policy Committee</u></a>	6
VII.	<a href="#"><u>Other Standing and Intermittent Committees</u></a>	8
VIII.	<a href="#"><u>Procedures for Elections of Faculty Representatives</u></a>	9
IX.	<a href="#"><u>Procedures for Changing the Rules of the Faculty</u></a>	10
X.	<a href="#"><u>Distribution of the Rules of the Faculty</u></a>	10

Appendix A – Additional College Policies

I.	<a href="#"><u>Sabbatical Leave</u></a>	11
II.	<a href="#"><u>Modified Duties Attendant to Parenthood</u></a>	11
III.	<a href="#"><u>Teaching Release for Probationary Faculty</u></a>	11
IV.	<a href="#"><u>Automatic Delay of Probationary Periods</u></a>	11
V.	<a href="#"><u>Fellowship Special Assignment</u></a>	12
VI.	<a href="#"><u>Summer Support for Probationary Faculty</u></a>	12
VII.	<a href="#"><u>Associate Professor Time-in-Rank Policies</u></a>	12
VIII.	<a href="#"><u>Faculty Distribution of Effort Policy</u></a>	13
IX.	<a href="#"><u>Formative Classroom Visits for Probationary Faculty Attendant to Mentoring</u></a>	13
X.	<a href="#"><u>Role of the Director of Undergraduate Studies</u></a>	14
XI.	<a href="#"><u>Review of New Department Chairs</u></a>	14

Appendix B – Departmental Promotion and Tenure Guidelines

I.	<a href="#"><u>Anthropology</u></a>	15
II.	<a href="#"><u>Biology</u></a>	20
III.	<a href="#"><u>Chemistry</u></a>	25
IV.	<a href="#"><u>Earth and Environmental Sciences</u></a>	28
V.	<a href="#"><u>English</u></a>	32
VI.	<a href="#"><u>Geography</u></a>	34
VII.	<a href="#"><u>Hispanic Studies</u></a>	39
VIII.	<a href="#"><u>History</u></a>	45
IX.	<a href="#"><u>Mathematics</u></a>	50
X.	<a href="#"><u>MCLLC</u></a>	53
XI.	<a href="#"><u>Philosophy</u></a>	57
XII.	<a href="#"><u>Physics and Astronomy</u></a>	60
XIII.	<a href="#"><u>Political Science</u></a>	63
XIV.	<a href="#"><u>Psychology</u></a>	67
XV.	<a href="#"><u>Sociology</u></a>	72
XVI.	<a href="#"><u>Statistics</u></a>	78

RULES OF THE FACULTY OF THE COLLEGE OF ARTS AND SCIENCES  
(Approved by faculty April 23, 2004, revised sections V-A and VI-A April 17, 2007,  
revised sections VII-A and VII-E February 14, 2008, revised section III April 22, 2009)

The College of Arts and Sciences is an educational and administrative unit established by the Board of Trustees. Its Faculty has responsibilities for establishing educational policies to guide the College in its missions of instruction, research, and service, and for the implementation and management of these policies. Its instructional responsibilities range from lower-division undergraduate through graduate studies. In all of its functions, the College of Arts and Sciences is guided by the tradition of the liberal arts: that is, knowledge is sought, developed, and cherished with concern for its ultimate value as well as for its immediate usefulness.

## I. Organization

The basic educational units of the College are the departments and interdisciplinary instructional programs. The method of appointment, term of office, and responsibilities of the Chairpersons are described in the University's Governing Regulations. The functions of the faculties of the departments and the committees for interdisciplinary instructional programs are also described in the Governing Regulations. Copies of the rules of procedure and descriptions of the committee structure for each educational unit are filed with the Offices of the Dean of the College, the Provost, and the Senate Council.

The departments shall be grouped into areas, as follows, for the purposes of establishing curriculum and/or program committees and determining membership on the committees where representation of the various areas of knowledge is essential:

Natural and Mathematical Sciences: Biology, Chemistry, Geological Sciences, Mathematics, Physics and Astronomy, Statistics;

Social and Behavioral Sciences: Anthropology, Geography, Political Science, Psychology, Sociology;

Humanities: English; Hispanic Studies; History; Philosophy; Modern and Classical Languages, Literatures and Cultures.

## II. Dean of the College

The Governing Regulations of the University establish the Dean as the executive officer of the College and all work associated with it. The Dean is the chairperson of the College Faculty and an ex officio member of all College committees. The duties of the Dean are described in the Governing Regulations and Administrative Regulations, and include the enforcement of the rules and policies established by the University Senate and by the College Faculty, and all special duties assigned by the President or the Provost.

The Dean recommends to the Provost the administrative measures necessary to carry out the assigned duties. The Dean is also authorized to establish administrative and/or advisory committees to aid in the performance of these functions.

As stated in the Governing Regulations, "The dean shall speak for the College." In the event that the Dean believes it necessary to depart from recommendations of the College Faculty in recommendations to the Provost or other University officers, the Dean shall state the reasons for that departure, communicating the College Faculty's recommendation as well as the Dean's recommendation, and he or

she shall notify the Faculty of such action. The Dean will be expected to give a report on College plans and accomplishments to at least one Faculty meeting during the year.

### III. The Faculty

The Faculty of the College shall consist of its Dean, Associate Deans, and full-time faculty whose primary appointments are in the College of Arts and Sciences and who have the rank of assistant professor, associate professor, or professor in the regular, special title, or extension series. By majority vote in any meeting, the Faculty may extend membership, with or without voting privileges, to any other person assigned to it for teaching, research, or administration. The Standard Personnel Files of all College faculty are kept in the Office of the Dean (see AR 11-1.0-1, Section III-E for a description of such Files).

Within the limits established by the Governing Regulations and the Rules of the University Senate and in accordance with SACS accreditation policies, the Faculty of the College of Arts and Sciences shall determine the College's policies concerning its instructional, research and academic service programs. The Faculty shall make recommendations to the University Senate on those matters that require Senate approval. It may make recommendations on other matters to the Senate or other academic bodies, the President, or other administrative officials.

The Faculty shall determine its organization and establish rules for the conduct of its business. It may through these rules or amendments to them delegate appropriate parts of its function to the Arts and Sciences College Executive Committee, the Educational Policy Committee, the Dean, the Associate Deans, or any committee that it shall establish or cause to be established. The Faculty shall retain responsibility for faculty affairs, for making recommendations on the organization of the College, and for the rules of the Faculty of the College of Arts and Sciences.

The Faculty shall meet at least once each academic year. Additional meetings are subject to the discretion of the College Executive Committee. The following may also call a meeting of the Faculty: 1) The President of the University; 2) The Provost; 3) The Dean of the College; 4) A majority of the Executive Committee members; or 5) Fifteen members of the Faculty by means of a written request to the Executive Committee. An agenda shall be prepared by the Executive Committee and sent to each faculty member at least two weeks in advance of a meeting.

The Dean or, at the Dean's request, the Chairperson of the Executive Committee shall preside at meetings of the Faculty. Roberts' Rules of Parliamentary Procedures shall be followed at meetings of the College Faculty and at meetings of its committees. Fifty members shall constitute a quorum at meetings of the Faculty. A faculty member or other person designated by the Chairperson of the Executive Committee shall serve as Secretary. Minutes of all Faculty meetings shall be circulated to members of the Faculty. Minutes of all meetings of committees established by the College Faculty shall also be available to the College Faculty.

### IV. Department Chairpersons and the Council of Chairs

#### A. Department Chairpersons

As stated in the Governing Regulations of the University, the department chairperson serves as chairperson of the department faculty in the development of academic policies, and normally presides at all department meetings. The chairperson also has administrative responsibility for implementing the department's program, including the periodic evaluation of faculty and staff; submission of the budget request for the department; administration of the budget after its approval; and making recommendations

on salaries and salary changes. In implementing these tasks, the chairperson shall seek the advice of members of the department, individually or as a group, or of advisory committees the chairperson may appoint, as specified in departmental rules.

The Governing Regulations state: “The chairperson shall speak for the department. In the event that the chairperson believes it necessary to depart from the opinion of the department faculty, the chairperson shall communicate the department faculty opinion as well as the chairperson's recommendation, stating reasons for differing from the department faculty opinion, and notify the department faculty of such action.”

#### B. The Council of Chairs

The chairpersons of all departments in the College, including ex officio the Chairpersons of the Departments of Military Science and Aerospace Studies, along with the Dean and (ex officio) the Associate Deans, shall constitute the Council of Chairs of the College. The Dean shall be the Chairperson of the Council of Chairs, and shall convene the Council regularly to provide information to the chairs on matters pertaining to the policies and administration of the College. The Dean shall also seek the advice of the chairs, individually or in Council, on matters relevant to their departments, including, when appropriate, matters of budget and resource allocation; salary and personnel policies; programmatic and curricular issues; and all other issues the Dean wishes to raise. The members of the Council of Chairs may bring before the Council issues they consider important for it to consider.

The Council of Chairs may vote to recommend action on any pertinent matter to the Dean, the Executive Committee, Educational Policy Committee, or the Faculty of the College. Such votes shall be held if requested by the Dean or by a majority of chairpersons. A majority of department chairpersons shall constitute a quorum of the Council of Chairs. A valid recommendation from the Council of Chairs shall require the assenting votes of a majority of its voting members.

### V. College Executive Committee

#### A. Composition

The Arts and Sciences College Executive Committee shall consist of six faculty members, two from each area of the College. Its members shall be elected by the Faculty by area according to the provisions in Section VIII below. No department of the College shall have more than one faculty member on the Committee (as determined by the faculty members' primary appointments) at any time. Committee members shall serve three-year terms, staggered so that two members from different areas shall end their terms each year. Committee members should not serve consecutive terms on the Executive Committee. All tenured faculty members except those currently serving as Dean or Associate Dean shall be eligible to serve as voting members. At its first meeting of each year the Committee shall elect a Chairperson. The Dean and Associate Deans shall be ex officio (non-voting) members of the College Executive Committee, but shall not be eligible to serve as Chairperson. (A&S: 4/17/07)

#### B. Initial formation

During the semester when these rules are approved by the Faculty of the College, the existing ad hoc Executive Committee shall elect two of its members from different areas to serve transitional one-year terms on the Executive Committee for the next academic year. The remaining four members shall be

elected by the Faculty according to the provisions in Section VIII below. The terms served by these initial elected members shall be determined by lot, with two from different areas to serve two-year terms, and the other two, also from different areas, to serve three-year terms.

### C. Advisory functions

The College Executive Committee shall serve as an advisory group to the Dean on administrative matters, and as a channel of communication from the Faculty to the Dean. The minutes of the Committee shall be distributed to all department or interdisciplinary program chairpersons and made available to all faculty members.

Specifically, the Executive Committee shall serve as advisor to the Dean on:

1. Budgetary policies and the College budget request
2. Policies and procedures regarding faculty appointments, reappointments, decisions not to reappoint; termination of appointments, post-retirement appointments; promotion, tenure, merit evaluations, etc. to supplement University policies and regulations (not to involve consideration of individual cases of promotion, tenure, or appeal of merit evaluation).
3. Appointments of Associate Deans, the Awards and Honors Committee, and any ad hoc college committees the Dean may appoint.
4. Policies on departmental reviews, including policies on the reviews of department chairpersons or of directors of interdisciplinary programs, and examination of and advice regarding the reviews of individual departments, chairpersons and directors.
5. College and department organization.
6. Appointment of the members of the Area Advisory Committees on Promotion, Tenure and Merit Evaluation Appeal; and of other committees appointed by the Dean.
7. Long-range planning and strategic planning for the College.
8. All other College matters brought to it by the Dean or Committee members.

### D. Decision functions

1. Appointment of the Self-Study and Planning Committee. In the years during which the College is undergoing external review, the Executive Committee shall, in consultation with the Dean, appoint the members and chairperson of the Self-Study and Planning Committee to carry out the College Self-Study and to write the Self-Study document. The Executive Committee may also appoint a Self-Study and Planning Committee in those other years in which it sees need for the self-study or planning functions.
2. Appointment of the Elections Committee. Each year the Executive Committee shall, in consultation with the Dean, appoint the members and chairperson of the Elections Committee.
3. Review provisions of the rules of the College of Arts and Sciences and recommend changes for approval by the Faculty.
4. Call for and prepare agendas for Faculty meetings. The Committee may call for meetings of the Faculty of the College, and shall prepare the agendas for all such meetings. The agenda and descriptions of major items for consideration at Faculty meetings shall be circulated to all members at least two weeks prior to the meetings. Exceptions may be made if the Dean or the Committee certifies with explanation an emergency and if the majority of those present at the meeting approve.

### E. Voting Rules

All recommendations and decisions of the Executive Committee must be approved by a majority of the voting members present. A quorum shall consist of four voting members.

## VI. Educational Policy Committee

The Educational Policy Committee advises the Dean, the Executive Committee, departments and faculty on all educational policy matters related to teaching, research and service. It has the authority to make decisions on behalf of the Faculty in approving or disapproving all proposals for new programs and courses and for changes in programs and courses. It also has the authority to appoint ad hoc faculty committees on educational policy matters and to make recommendations on matters of educational policy and educational policy planning to the Dean, the Executive Committee, and the Faculty.

### A. Composition

The Committee consists of nine faculty members, three from each area of the College, serving three-year staggered terms, and a student member. Its faculty members are elected by the Faculty of the College by area according to the rules enumerated below in Section VIII. No department of the College shall have more than one faculty member on the Committee (as determined by the faculty members' primary appointments) at any time. Committee members should not serve consecutive terms on the Educational Policy Committee. Its student member is appointed by the Dean in consultation with the Chairpersons or Directors of Undergraduate Studies. The Dean, Associate Dean, and/or their designate act as members ex officio (non-voting). (A&S: 4/17/07)

### B. Initial Formation

During the semester when these rules are approved by the Faculty of the College, the existing Arts and Sciences Council shall elect three of its members, one from each area, from among those with one or two years left in their current term, to serve transitional one-year terms on the Educational Policy Committee for the next academic year. The remaining six members shall be elected by the Faculty according to the provisions in Section VIII below. The terms served by these initial elected members shall be determined by lot, with one new member from each area to serve a three-year term, and the other new member from each area to serve a two-year term.

### C. Advisory functions

In its advisory capacity, the Committee shall serve as advisor to the Dean on:

1. All educational policy matters brought to it by the Dean.
2. Recommendations from the Faculty or committees of the College on matters of educational policy.
3. Ways and means to promote interdisciplinary cooperation in research, teaching and academic service among faculty members, units and programs within the College and across campus.
4. Any matter of College educational policy on which it chooses to proffer advice.

### D. Decision functions

The Committee, as a body authorized to make decisions on behalf of the Faculty, shall:

1. Appoint, in consultation with the Dean, any ad hoc faculty committees it deems necessary, to report to it on matters of educational policy, including all three areas of the College's academic mission: teaching, research and service. This may include the appointment of an Interdisciplinary Programming Committee to organize, promote or implement interdisciplinary activities not associated with existing interdisciplinary programs.
2. Act to approve or disapprove on behalf of the College Faculty all proposals for new programs and courses and for changes in programs and courses submitted by Departments or interdisciplinary programs.
3. Receive recommendations on matters of educational policy from department chairpersons or faculty committees for consideration and transmission, with or without recommendation, to the Faculty or to the Dean of the College.
4. Review and make recommendations on the academic requirements of the College; on programs, including departmental, interdepartmental, and interdisciplinary programs; and on all other issues of educational policy, for transmission to the Faculty or the departments.

#### E. Voting rules

All decisions and recommendations of the Educational Policy Committee must be approved by a majority of its voting members. A quorum shall consist of six voting faculty members.

#### F. Rules for submitting matters to the Faculty

When the Committee acts on academic matters brought before it that must be considered by the Faculty, it may take either of two actions, depending upon its judgment of the importance or the controversial nature of the subject. It may:

1. Present its recommendation to a regular meeting of the Faculty or call a special meeting of the College Faculty for its consideration of the recommendation.
2. Poll the Faculty by mail ballot.

#### G. Procedures for Processing Courses and Programs

Recommendations on new courses, changes in courses, new programs and changes in programs will be made by departments or interdisciplinary programs to the Dean of the College, who will distribute them to the Educational Policy Committee for review. At the same time, the Dean will circulate notification of the pending change to each department and interdisciplinary program in the College. The Educational Policy Committee will wait two weeks after circulation to take final action to permit time for written comments to be filed with it prior to consideration of the proposal.

Recommendations on courses and programs from the Departments of Military Science and Aerospace Studies shall be submitted simultaneously to the Dean for consideration and for circulation to the departments, and to the Educational Policy Committee for action. The Committee will consider the recommendation after the two-week allowance for comments. Descriptions of courses and programs as approved shall be kept in the Office of the Dean.

For action on such proposals, the Committee may constitute its three members from each area as area subcommittees to carry out initial investigation and consideration. Approval of such proposals is reserved for votes of the full Educational Policy Committee, with six faculty members constituting a quorum for such votes. The proposals it approves by majority vote are sent forward to other University bodies (e.g., the Undergraduate Council, Graduate Council, University Senate) as appropriate. Those which are not

approved are returned to the submitting department(s) or program(s) with an explanation of the reasons for non-approval.

## VII. Other Standing and Intermittent Committees

### A. Area Advisory Committees for Promotion, Tenure and Appeal of Merit Evaluation (one for each academic area).

Each of these committees shall be a standing committee consisting of five tenured faculty members, four from within the academic area, and one from a different area. The Department Chairpersons may nominate candidates to serve on these committees. Appointment of committee members shall be made by the Dean with the approval of the Executive Committee. The appointment of chairpersons shall be made by the Dean in consultation with the Executive Committee.

These committees shall examine all dossiers for promotion and tenure submitted to the Dean's office by departments in their area. For each case, they shall advise the Dean on whether to put the case forward with a positive recommendation, a negative recommendation, or (when permitted by University regulations) stop the case. In each case they shall submit to the Dean a letter summarizing their advice, explaining the reasons for it, and stating the number voting for a positive or a negative recommendation or action. The Dean shall not act on any promotion or tenure case without first receiving the recommendation of the relevant Area Advisory Committee.

These committees shall also advise the Dean in cases in which individual faculty members appeal the merit evaluation assigned them by the Dean. In each appeals case, the relevant committee shall consider pertinent materials submitted to it by the faculty member and by the evaluating Chairperson, and submit to the Dean a letter summarizing its advice, explaining the reasons for it, and stating the number voting for and against the recommendation.

### B. Elections Committee

The Election Committee shall be a standing committee appointed by the Executive Committee to supervise elections to the Executive Committee, Educational Policy Committee, the University Senate, and all other elections at the College level. The Committee shall establish the rules, procedures and methods by which such elections shall be held, in accordance with these rules and the Governing Regulations and Administrative Regulations of the University. The Committee shall make efforts to promote diversity in the slate of candidates nominated. In cases of multiple tie votes on first-round ballots, this Committee shall determine, using the criteria it considers appropriate, which nominated faculty members shall be placed on second-round ballots.

### C. Self-Study and Planning Committee

The Self-Study and Planning Committee shall be an intermittently appointed committee consisting of no fewer than six faculty members, including at least two faculty members from each of the three areas of the College. Its membership and Chairperson shall be appointed by the Executive Committee, in consultation with the Dean. In years during which the College is undergoing external evaluation, this Committee shall be appointed and shall carry out the College Self-Study and write the self-study document. In other years, it may be appointed to carry out such tasks of College self-study or planning as may be assigned to it by the Executive Committee

#### D. Awards and Honors Committee

This standing committee consists of five faculty members appointed by the Dean, in consultation with the Executive Committee, to two-year terms. It recommends to the Executive Committee awards and honors to be given by the College of Arts and Sciences other than the Distinguished Professor Award, together with procedures to be used in the selection of recipients of such awards and honors. The Committee has responsibility for the planning of all ceremonial exercises at which honors are to be awarded.

#### E. Arts and Sciences Distinguished Professor Award and Award Committee

Each year the College shall select a Distinguished Professor. The Distinguished Professor will receive a monetary stipend during the award year, a one-semester release from teaching, and a medallion. The award recipient will present a public lecture during the award year. The Distinguished Professor will retain the title of A&S Distinguished Professor. The award will rotate annually among the areas of the College in the following order:

1. Natural and Mathematical Sciences
2. Humanities
3. Social and Behavioral Sciences

The Distinguished Professor Award Committee, which will select the recipient, will solicit nominations for this award from all members of the College Faculty; however, candidacy for the award is not limited to these nominations. The Committee may solicit external letters to help in the selection of the award recipient, but it is not required to do so.

The Distinguished Professor Award Committee will consist of three members of the College faculty--one from each division of the College. Normally, the Award Committee will consist of the three previous Distinguished Professor Award recipients. When this is not possible or appropriate, the Dean will, in consultation with the Executive Committee, appoint faculty members to the committee so that the committee has three members.

#### VIII. Procedures for Elections of Faculty Representatives

Elections of members of the College Executive Committee, of the Educational Policy Committee, and of members of the University Senate from the College of Arts and Sciences, shall be each conducted within each academic area by the Dean of the College in the following two-stage process.

The Dean shall first solicit letters of nomination from all tenured and tenure-track faculty members in the relevant academic areas and provide a reasonable time for response. Whenever possible, solicitations for nominations to different bodies, and elections to those bodies, are to be made simultaneously for all elections conducted in each semester. In the first stage each faculty member may nominate up to two persons. For each area, the names of the three individuals receiving the largest number of nominations, plus ties for third place, shall be placed on a second-stage ballot, up to a maximum of four candidates per position, provided that all have signified their willingness to serve if elected. If anyone declines, that person's name shall be replaced on the second-stage ballot by the name of the person willing to serve who received the next highest number of nominations. In cases of multiple ties for third place, the Elections

Committee shall determine which names among those in the tie shall be placed on the ballot. The person who receives the largest number of votes for each position on the second-stage ballot shall be declared elected. The person who receives the second-largest number of votes for each position shall be designated an alternate, who shall be available for one year (or, for Executive Committee candidates, two years) to take the place of any committee member who is unable to serve or to complete his or her term. In case of a tied vote, the Election Committee shall designate a winner and alternate from among the tied candidates. All ballots must be tallied and other procedures carried out in such a way as to ensure confidentiality of the voting in the second stage.

#### IX. Procedures for Changing the Rules of the Faculty

Amendments to the Rules of the Faculty of the College of Arts and Sciences shall require approval by a simple majority of those voting at a Faculty meeting, provided that the amendments have been circulated to all members eligible to vote at least thirty days before the meeting. A two-thirds vote is required if fewer than thirty days have elapsed. Alternatively, the Executive Committee may after consultation with the Dean call for a mail ballot for approval of such Amendments. (In such cases the Faculty retain the power under Section III of these rules to call for a meeting of the College Faculty to discuss the Amendment or Amendments.) For results to be valid, at least one-quarter of all eligible faculty in the College must submit mail ballots. A simple majority of votes in a valid election shall suffice for approval of Amendments. These Rules, and any amendments to them, must be approved and disseminated in accordance with the Governing Regulations of the University.

#### X. Distribution of the Rules of the Faculty

Approved copies of the Rules of the Faculty of the College of Arts and Sciences, and any subsequent amendments or alterations, shall be posted on the College of Arts & Sciences website and forwarded to the Provost and the Senate Council Office.

## APPENDIX A – Additional College Policies

### I. Sabbatical Leave

Sabbatical leave provides opportunities for study, research, creative effort, improvement of teaching capabilities and methods, and related travel. Sabbatical leave may be requested for:

- (1) Two semesters at sixty-six percent salary after six years of continuous eligible service;
- (2) One semester at full salary after six years of continuous eligible service; or
- (3) One semester at fifty percent salary after three years of continuous eligible service (*e.g.*, mini-sabbatical)

One-semester leaves may be for either a fall or spring semester. Full-year leave may begin in fall or in spring.

*(Approved Spring 2005)*

### II. Modified Duties Attendant to Parenthood

A faculty member who becomes a parent and has at least co-equal caregiving responsibilities for an infant or adopted child is entitled, upon request, to a period of modified duties without a reduction in salary. This period is designed to permit the faculty member a period of adjustment to the parenting needs of a newly born or adopted child. Modified duties provide relief from direct teaching responsibilities for an academic semester and must be taken within 12 months of a child joining the family. Modified duties are available immediately upon employment in the College. A faculty member may take one term of modified duties for each child added to the family.

*(Approved Spring 2005)*

### III. Teaching Release for Probationary Faculty

Pending a successful third-year progress review, all probationary faculty appointed in August 2005 and thereafter are eligible for a semester release from teaching without a reduction in salary during their fourth-year of probation. Natural Science and Psychology faculty have the option to take this teaching release during their first year of probation in order to set up research laboratories. The semester teaching release is offered so that probationary faculty may focus single-mindedly on their research responsibilities in the run-up to tenure review.

*(Approved Spring 2005)*

### IV. Automatic Delay of Probationary Periods

A probationary faculty member who becomes the parent of a child or children by birth or adoption or who assumes significant responsibilities with respect to elder or dependent care obligations, of a relative or domestic partner for the purpose of providing care to that person, shall automatically be granted a one-year delay of the probationary period by the dean, upon written notification by the faculty member's department chair to the College dean. A faculty member may waive the automatic delay by completing and submitting a Faculty Waiver Form to the chair. The automatic delay shall not be granted more than two (2) times within the probationary period of a faculty member. The faculty member shall be reviewed for tenure under the same academic standards as a candidate who has not extended the probationary period and shall not be penalized or adversely affected by the delay of the probationary period.

*(Approved Summer 2007)*

## V. Fellowship Special Assignment

Faculty may apply for a fellowship special assignment when awarded a research or teaching fellowship from an external agency. All fellowships should be routed through the University. If the award is insufficient to replace a faculty member's regular salary, the college will "top-up" the award by providing up to the dollar amount required for the faculty member to receive his or her regular salary while holding the fellowship. The Vice President for Research has agreed to pay retirement benefits on the dollar amounts of research fellowships (note. doing this requires that the research fellowship be routed through the University). As a result, a faculty member who is awarded a research fellowship will receive retirement benefits calculated on the sum of the award from the external agency and the college's "top-up" contribution. In the case of teaching fellowships, retirement benefits will be calculated on the "top-up" contribution alone. In either case, the faculty member retains his or her employee health insurance credit (with the employee contribution deducted from the monthly pay coming through the University). All requests for Fellowship Special Assignments must go through and be supported by department chairs.

Time spent by probationary faculty on Fellowship Special Assignment is considered probationary period service. Time spent on these Assignments is also considered service toward eligibility for sabbatical leave.

*(Approved Fall 2009)*

## VI. Summer Support for Probationary Faculty

All probationary faculty appointed in August 2007 and thereafter are eligible for summer salary support for the first summer after their initial year of employment.

*(Approved Summer 2007)*

## VII. Associate Professor Time-in-Rank Policies

It is a College-wide expectation that all faculty are to achieve the rank of full professor within seven to eight years of promotion to associate professor. Such a policy helps structure faculty in much the same way as the promotion to associate professor does and erases any ambiguous timeframe. The College recognizes that for some faculty there will be circumstances that will require variations (*e.g.*, becoming a parent of a child or assuming significant responsibilities for the care of a relative or domestic partner).

All associate professors in fields with limited external funding opportunities will receive \$5,000 in research support for their first sabbatical.

The College offers a one-course reduction during the fall semester of the third- or fourth-year post-UK tenure to all associate professors who have provided continuous service since the receipt of tenure (excluding time spent on sabbatical, if any). The course reduction cannot fall in an academic year immediately following or preceding the academic year of a sabbatical leave. The one-course reduction is subject to the approval of the A&S Dean's Office and in consultation with the department chair. It is also contingent on the submission and approval of a research proposal. The research proposal should not be longer than five pages in length and should include the following: a research agenda, a proposed timetable for promotion to professor, and the progress made since receipt of tenure.

By August 2008, all department chairs and senior colleagues are to develop ways to mentor informally associate professors. It is recommended – given the saddle-shaped curve of faculty productivity – that such mentorship begins following successful promotion to associate professor with tenure.

No associate professors (when deemed feasible) should serve in the role of department chair, director of undergraduate studies, and director of graduate studies to ensure that their service burden is limited.

*(Approved Winter 2008)*

## VIII. Faculty Distribution of Effort Policy

All College of Arts & Sciences faculty members are expected to excel in research, teaching (which includes undergraduate student mentoring and graduate student advising), and service. In most cases, a faculty member's distribution of effort is to be divided among these three responsibilities, with equal weight given to research and teaching. Occasionally, a faculty member may have a fourth responsibility – administration, which includes serving as department chair, associate dean for the College, or an administrator for the University. When deemed feasible, only full professors are to assume administrative responsibilities.

For purposes of a faculty member's distribution of effort, serving as department chair or associate chair, director of undergraduate studies or director of graduate studies, or center director or associate directors is to be considered administration if any course release or buy-out is involved. Sitting on any department, College or University committee, serving as a journal editor, or assuming a leadership role in a professional organization or association is service and is not to be considered administration. Whenever a faculty member assumes administrative or special service responsibilities, a tailored distribution of effort may be negotiated among the faculty member, the department chair, and the dean.

Every effort should be made within departments to keep assistant professors' service commitments to a minimum to give them time to launch their research and teaching careers. Similarly, associate professors need time to achieve the rank of full professor. **As a result, all full professors must have at least ten percent of their distribution of effort allocated to service.**

As a general guideline for service:

- A) Assistant and associate professors without tenure should have a service distribution of 5-10 percent effort.
- B) Associate professors with tenure should have a service/administration distribution of 10-15 percent effort.
- C) Full professors should have a service/administration distribution of 10-20 percent effort.

The College of Arts and Sciences distribution of effort policy allows for variation and flexibility (*e.g.*, course buyouts, scholarship/fellowship leave, etc.), when deemed appropriate and negotiated with the department chair and the College associate dean responsible for faculty affairs. Faculty are required to review their distribution of effort annually with their department chair.

*(Approved Winter 2008)*

## IX. Formative Classroom Visits for Probationary Faculty Attendant to Mentoring

By August 2008 all A&S departments will have implemented a mentoring process for probationary faculty. The purposes of the mentoring process are to help probationary faculty adjust to their new environment, provide them with guidance as they launch their research agendas, help them navigate the appropriate levels and types of institutional and professional service, and help improve their teaching.

With regards to improving probationary faculty's teaching, the College encourages faculty mentors and their probationary faculty engage in an informal, on-going dialogue on teaching. This discussion should be amplified by the mentor attending two to three of the probationary faculty member's classes per year. In doing so, the mentor will be able to provide formative advice and feedback regarding a probationary

faculty member's teaching. No formal evaluation of the classroom visits should be written or included in the probationary member's FMER, second-, third-, or fourth-year reviews, or promotion and tenure dossier. However, the department chair should ensure that these observations take place and are discussed with the probationary faculty member.

*(Approved Winter 2008)*

#### X. Role of the Director of Undergraduate Studies

Although the DUS will continue to approve all transfer equivalencies and exceptions regarding the major requirements, the DUS will no longer be responsible for the academic advising of departmental majors.

The DUS, in partnership with the department chair and the appropriate departmental standing committee(s), will engage the department as a whole in curriculum and pedagogical revision and innovation.

The DUS will be asked to think strategically as well as tactically about the department's undergraduate curriculum, seeking out the discipline's best pedagogical practices and playing a major role in facilitating departmental discussions on how these might best be implemented.

The DUS will work with the department's undergraduate committee to develop the corporate identity of declared majors, helping to see to it that an organization of majors is established and maintained. This organization should be consulted on curricular matters as appropriate, and encouraged to sponsor extracurricular activities that bring majors and faculty members together in a shared community of interests.

The DUS will work with the department chair and the professional advisor, where appropriate, to match students with faculty mentors.

The DUS will facilitate an active relationship with the professional advisor, and will be the professional advisor's primary liaison with department.

The DUS will work with the professional advisors and the A&S career advisor on career preparation for students in the major – via career orientations for majors, job-hunting and resume-writing workshops for majors, and the like.

*(Approved Fall 2007)*

#### XI. Review of New Department Chairs

All new department chairs should have a performance review during the second-year of their first term as department chair. The second-year review should not be coupled with the FMER process.

*(Approved Winter 2008)*

## APPENDIX B – Departmental Promotion and Tenure Guidelines

### I. Anthropology

#### Regular Title Series Faculty

#### Tenure and Promotion to Associate professor

##### General Expectations:

- 1) The successful candidate in the Department of Anthropology should have a balance between engaged teaching and active research. Good teaching at a research university requires an active, high-quality research program that involves an introduction to the research experience for students.
- 2) The department expects the successful candidate for promotion to Associate Professor with tenure will define his/her own special teaching/research mission and to attempt, where appropriate, to relate what the department and the U.K. campus are seeking to accomplish with their respective education strategies.
- 3) Each successful candidate for promotion/tenure to Associate Professor should have a research program that contributes significantly to scholarly publication and debates in the discipline at national and/or international levels.
- 4) Each successful candidate for promotion/tenure to Associate Professor must train students in anthropology, and, where appropriate, adequately inspire the best students to pursue careers in the discipline. The faculty member should be on graduate student committees and should seek Co-Chairship of at least 1-2 doctoral students by his/her sixth year.
- 5) The performance review of each candidate will be evaluated both in terms of quality and quantity of research and scholarship, teaching and advising, university and public service, and other appropriate activities with relative weighting based on the individual's distribution of effort (DOE).
- 6) Although the service responsibilities assigned to assistant professors are generally modest, it is required that all faculty members contribute conscientiously to the collective growth and development of the department, college and University.

##### Specific Expectations:

##### Research:

- 1) The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication and dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication.
- 2) The successful candidate is expected to sustain a viable research program and to incorporate, where appropriate, graduate and undergraduate students in research projects as part of their education and training. The person must demonstrate publication of data and theory in high-

quality recognized outlets at national and/or international levels. Normal evidence of a meaningful program of scholarly productivity would be the publication of original books by leading academic or commercial publishers; articles in refereed journals; and book chapters in high-quality collections. Candidates may also show evidence of sustained scholarly activity by editing books and special journal issues, and writing textbooks. However, while these contributions bolster a candidate's file, they do not substitute for scholarly and/or creative work published by respected journals and presses. In certain applied fields of anthropology, research reports to agencies, consulting reports, and other non-peer-reviewed materials can be of minimal value in a candidate's research portfolio, but only if they are accompanied by strong peer-reviewed publications in high-quality outlets.

- 3) In specializations where external research funds are available, the candidate for associate professor is expected to seek extra-mural support for the individual's research program. External funding as an indicator of research achievement should be validated by refereed publications. External funding alone is not an adequate indicator of research excellence.
- 4) If an untenured candidate continues to work in the research area within which he/she conducted dissertation work, then a continuing program of meaningful and important research must be demonstrated that goes well beyond the dissertation project. The successful candidate is expected to clearly define her/his own research role and confidently shape the individual's own distinctive research program independent of the dissertation project.
- 5) Interdisciplinary, collaborative research with colleagues is common in many areas of specialization of anthropology. In cases where the faculty member is involved in collaborative research, including co-authored publications, the junior faculty member should make sure that his/her contributions to the research and its products are clearly distinguishable from others. Sole-authored publications in high-quality journals and presses are critical for junior faculty members beginning their research careers, and collaborative research cannot substitute for this. Strong, interdisciplinary collaboration and multi-authored publications generally are more advisable after the candidate has received promotion.

#### Teaching and Advising

- 1) The successful candidate for promotion will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both the undergraduate and graduate level is expected.
- 2) Given the diversity of topics covered by anthropology each successful candidate is expected to teach a wide variety of graduate and undergraduate courses, in addition to offering courses in his/her area of specialty.
- 3) The successful candidate for promotion to Associate Professor must demonstrate effective teaching, as well as high-quality research, and bring teaching into balance with research and cutting-edge knowledge. Where appropriate, the candidate should incorporate her/his research into classroom activities and actively involve graduate students in the faculty member's research program.

#### Service:

- 1) Each successful candidate is to demonstrate that she/he has served on standing committees within the department and/or on College- and/or University- wide committees on a regular basis. If the

candidate has had a major service assignment (i.e., DUS), he/she may have had a reduced committee load in the service and teaching areas.

## Promotion to the Rank of Professor

### General Expectations:

Promotion to the rank of professor requires that the faculty member has continued the professional production signified by the award of tenure. Candidates must be recognized by distinguished colleagues nationally and internationally as having achieved an eminent record of research, teaching, and service, and having emerged as national leaders in their respective fields.

### Specific Expectations:

#### Research

- 1) For promotion to Professor of Anthropology, the successful candidate generally should have published at least two important scholarly books and/or several significant journal articles and book chapters and have attained extra-mural grant support for their research program. In a few areas of anthropology books are not as important as refereed journal articles and for these individuals judgment must be made on a case-by-case basis. But such an individual would be expected to have numerous refereed articles in high quality, peer-reviewed journals. The successful candidate must be recognized as a national leader in the individual's area of scholarly expertise. Evidence of the latter includes invitations to speak at key research universities and conferences, publish in major presses, contribute to important edited volumes, serve on important professional committees and editorial boards, and provide service to national and international organizations.
- 2) The candidate for professor is expected to provide an example of research excellence to junior faculty and to publish peer-reviewed articles and book chapters on a regular annual basis, with a major scholarly contribution every 5-6 years (for example, a book). The individual should also maintain an active field research program that incorporates graduate students and post-doctoral researchers.
- 3) The candidate for professor is expected to take greater risks in seeking interdisciplinary collaborations and pushing the boundaries of the discipline than more junior faculty. The candidate for professor, especially in the applied anthropology program, can devote more time to advocating certain policy or professional positions, than a more junior colleague since the payoffs from these kinds of efforts may not be achieved for 5-10 years. Even in these cases, however, the candidate's contributions to interdisciplinary and/or policy-oriented research must be clearly distinguishable from others and result in high-quality, peer-reviewed publications.

#### Teaching and Advising

- 1) The candidate for Professor must excel at graduate and undergraduate teaching. At the graduate level this means overseeing the student's progress from classroom and thesis research, to job placement and initial publications. Full professors must make this type of long-term commitment to insure that their students begin successful careers.

#### Service

- 1) A candidate for professor must maintain appropriate levels of service to the department, college, university, the community-at-large and her/his discipline. The candidates for promotion

to full professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department.

#### Promotion and Tenure for Special Title Series Faculty: Promotion and Tenure to Associate professor

#### Teaching, Research, Administration and Other Areas

The primary criteria for promotion and tenure shall be evidence of excellence and of continuing potential for excellence in the teaching, research, advising, service, administrative, and/or other areas of assignment defined in the Distribution of Effort (DOE).

#### Special Teaching/Advising Assignments

To attain tenure, a candidate assigned to teach primarily undergraduate classes and to advise undergraduate students should demonstrate a record of excellence in teaching and pedagogical innovation; evidence of potential for continuing excellence in classroom instruction; and demonstrated commitment to and success in undergraduate and, if appropriate, graduate courses. She/he also must demonstrate leadership in College and departmental programs to enhance undergraduate education. The candidate also must demonstrate maintenance of course materials and content that is current with the scholarship in his/her field. The individual should show the incorporation of new scholarship and teaching methods in his/her courses. Evidence of this might include the publication of an undergraduate textbook in anthropology.

Research and professional development of the successful candidate shall be evaluated according to evidence of continuing intellectual engagement with her/his discipline or area of teaching responsibilities. For Special Title Series (STS) candidates, who have a research load less than 40%, they must demonstrate that their publications have maintained the same standard of peer-review as for those with 40% or more research load, but the former cannot be expected to produce publications or to initiate new research at the same rate as that required of RTS faculty. The evaluation of a candidate for promotion and tenure is based on an informed perception of the quality of the scholarly and/or technical articles and books accepted for publication.

#### Special Administration Assignments

For successful candidates whose primary assignment is administration, research, and/or public outreach (e.g., Director of the Museum, Director of PCRA), they must also demonstrate a record of excellence in administration of the unit in question; evidence of potential for continuing excellence in administration, growth, public outreach and/or basic or applied research; and a commitment to and success in working with state, federal and other agencies with whom they have normal working relations. Their publications should be in the same high quality outlets as their RTS faculty peers, but at a rate reflective of their reduced DOE effort for research.

#### Promotion to the Rank of Professor

The promotion to the rank of Professor for an STS Associate Professor requires that the successful candidate have continued the professional production signified by the award of tenure in the person's areas of assignment according to his/her DOE. Candidates must be recognized by distinguished colleagues nationally and/or internationally as having achieved an eminent record of research and/or teaching and, where appropriate, of administration and public outreach. They must excel at graduate and undergraduate teaching per the assigned load of DOE responsibility in this area. In addition they must

maintain appropriate levels of service to the department, college, university, the community-at-large, and their disciplines.

*(Approved October 4, 2004)*

## II. Biology

Department guidelines for tenure and promotion from assistant professor to associate professor

### Regular Title Series

#### 1. Research and Professional Development

The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship and to attain national recognition through the impact of her/his activities.

In evaluating research and professional development, the Department of Biology will consider the quality of the faculty member's research and development efforts. Quality is considered a measure of scholarly productivity and overall scientific impact.

In listing its guidelines for research, the Biology Department acknowledges the diversity of research interests in this discipline. The skills required for success vary greatly among programs involved in field research, wet-bench experimentation, theoretical or computational biology and bioscience education. In some instances, involvement in multi-group/multi-institutional projects may be necessary or desirable (e.g., "large scale" projects like genomic bioinformatics) while in others, individual efforts may suffice. It is important, however, that the candidate demonstrate scholarly independence and leadership. The faculty member is expected to have worked effectively to fund his or her research program, although the expectations and opportunities for extramural funding, graduate student participation and publication rates may vary from field to field. Therefore, the items listed must be judged against the norms for the research sub-discipline of the faculty member.

Evidence of a research effort that is commensurate with tenure and promotion from assistant professor to associate professor includes:

- Publications in well-respected refereed journals
- Presentations at conferences, meetings, workshops or other academic or research institutions
- Submission and funding of proposals for extramural support of research activities (especially nationally competitive awards)
- Training & mentoring of undergraduate students, graduate students, or post-doctoral researchers in research projects
- Evaluations by respected scholars in the sub-discipline who can assess the quality of the candidates research program

In general, the candidate is expected to achieve in all of these areas, although the distribution of these may vary. Further evidence of the overall strength of the research effort may include awards and invitations that reflect recognition of the faculty member, such as:

- Awards or honors for research activities
- Organization of scientific conferences, meetings, workshops
- Editorship of refereed journals, conference proceedings, etc.
- Service as peer reviewer for refereed journals and/or funding agencies
- Publication of research books, monographs or review articles
- Invited presentations at scientific conferences, meetings, and workshops

- The acquisition of patents relevant to the research

## 2. Teaching

Departmental expectations for teaching performance include a record of quality instruction at more than one academic level. The department also expects the careful, committed advising of undergraduate students and graduate students. The faculty member is expected to communicate effectively with students. Teaching methods, course content, and exams are expected to be appropriate to the level of the course, equity and fairness in dealing with students is required.

Such performance will be evaluated with:

- The faculty member's teaching portfolio
- Appropriateness of course content, syllabi and examinations
- Student teaching evaluations and letters
- Other evidence of the strength of teaching of the candidate may include:
- Innovations in teaching methods or materials
- Awards or honors for teaching activities
- Teaching-related publication
- Submission and support of teaching-related grants
- Demonstrated success working with teaching assistants or other faculty members to enhance their teaching & advising skills
- Exceptional contributions in student advising
- Exceptional contributions in mentoring the research activities of students

## 3. Service

Service activities are expected of all faculty members in the department. Examples of professional service include:

- Participation on departmental and university committees
- Organization of seminars or colloquia
- Efforts in recruiting undergraduate and graduate students
- Participation in professional organizations
- Outreach activities at schools or in the general community or governmental agencies
- Reviewer service to publications and funding agencies
- Editorships for professional publications
- Formation of educational policy, participation in faculty governance, and effective performance of administrative duties.

Although the service responsibilities assigned to assistant professors are generally modest, it is required that all faculty contribute conscientiously to the growth and development of the department, college, and/or university.

## Special Title Series

Each Special Title Series faculty position is, by definition, one whose job duties are uniquely defined. Explicit criteria for promotion and tenure are included in the position description that is approved,

according to established University rules and procedures. In Biology, Special Title Series faculty members are scholars with unique mixes of teaching, research, and service.

#### Research Title Series

Research Title Series faculty positions are focused on research activities. Such positions do not include provisions for tenure, but promotion to associate level is awarded when the research record meets an appropriate level of quality, based upon activities outlined in Section 1.1.i above.

#### Department guidelines for promotion from associate professor to full professor

#### Regular Title Series

##### 1. Research and Professional Development

The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship and to attain national recognition through the impact of her/his activities. In evaluating research and professional development, the Department of Biology will consider the quality of the faculty member's research and development efforts. Quality is considered a measure of scholarly productivity and overall scientific impact.

In listing its guidelines for research, the Biology Department acknowledges the diversity of research interests in this discipline. The skills required for success vary greatly among programs involved in field research, wet-bench experimentation, theoretical or computational biology and bioscience education. In some instances, involvement in multi-group/multi-institutional projects may be necessary or desirable (e.g., "large scale" projects like genomic bioinformatics) while in others, individual efforts may suffice. It is important, however, that the candidate demonstrate scholarly independence and leadership. The faculty member is expected to have worked effectively to fund his or her research program, although the expectations and opportunities for extramural funding, graduate student participation and publication rates may vary from field to field. Therefore, the items listed must be judged against the norms for the research sub-discipline of the faculty member.

Evidence of a research effort that is commensurate with tenure and promotion from assistant professor to associate professor includes:

- Publications in well-respected refereed journals
- Presentations at conferences, meetings, workshops or other academic or research institutions
- Submission and funding of proposals for extramural support of research activities (especially nationally competitive awards)
- Training & mentoring of undergraduate students, graduate students, or post-doctoral researchers in research projects
- Evaluations by respected scholars in the sub-discipline who can assess the quality of the candidates research program

In general, the candidate is expected to have notable achievements in all these areas, although the distribution of these may vary. Further evidence of the overall strength of the research effort may include awards and invitations that reflect recognition of the faculty member, such as:

- Awards or honors for research activities
- Organization of scientific conferences, meetings, workshops

- Service as peer reviewer for refereed journals and/or funding agencies
- Editorship of refereed journals, conference proceedings, etc.
- Publication of research books, monographs or review articles
- Invited presentations at scientific conferences, meetings, and workshops
- The acquisition of patents relevant to the research

## 2. Teaching

The candidate is generally expected to have demonstrated a consistently strong record of effective teaching at more than one instructional level. Furthermore, the faculty member is expected to have demonstrated a record of careful, committed advising of undergraduate students and graduate students. The faculty member is expected to communicate effectively with students. Teaching methods, course content, and exams are expected to be appropriate to the level of the course, and equity and fairness in dealing with students is required.

Such performance will be evaluated with:

- the faculty member's teaching portfolio
- appropriateness of course content, syllabi and examinations
- student teaching evaluations and letters

Other evidence of the strength of teaching of the candidate may include:

- innovations in teaching methods or materials
- awards or honors for teaching activities
- teaching-related publications
- submission and support of teaching-related grants
- demonstrated success working with teaching assistants or other faculty members to enhance their teaching and advising skills
- exceptional contributions in student advising
- exceptional contributions in mentoring the research activities of students

## 3. Service

Service activities are expected of all faculty members in the department. Service may include:

- Participation on departmental and university committees
- Organization of seminars or colloquia
- Efforts in recruiting undergraduate and graduate students
- Participation in professional organizations
- Outreach activities at schools, in the general community, or governmental agencies
- Reviewer service to publications and funding agencies
- Editorships for professional publications
- Formation of educational policy, participation in faculty governance, and effective performance of administrative duties.

## Special Title Series

Each Special Title Series faculty position is, by definition, one whose job duties are uniquely defined. Explicit criteria for promotion are included in the position description that is approved, according to established University rules and procedures. In Biology, Special Title Series faculty members are scholars with unique mixes of teaching, research, and service.

#### Research Title Series

Promotion to full professor in the Research Title Series is warranted when the candidate meets the guidelines for such promotion according to Section 2.1.i.

*(Approved October 29, 2007)*

### III. Chemistry

#### Regular Title Series Faculty

The Department faculty evaluates performance in teaching, research, and service as criteria for promotion and tenure in the Department of Chemistry. Faculty members are expected to sustain a commitment to undergraduate and graduate student education and training, to earn recognition for their academic achievements, to aid college and university colleagues in their academic and research missions, and to serve the chemical profession and the general public. The Department has set appropriate standards for assessing excellence and will mentor junior faculty to meet those standards. Faculty evaluation for promotion and tenure will be based upon a continuing record of effective teaching and advising at multiple levels of instruction, production of substantive, original, and innovative scholarship, and effective service to the department, college, university and state.

#### Guidelines:

##### Tenure and promotion to Associate Professor

**Teaching:** The successful candidate for promotion to Associate Professor with tenure will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both the undergraduate and graduate level is expected. Formal and informal advising for undergraduate and graduate students is an important aspect of teaching and will be assessed as appropriate. Teaching assessment will be carried out by a review of student ratings and comments, including the candidate's quantitative and qualitative teaching evaluations conducted each semester, and an evaluation of a teaching portfolio. Also important will be assessment by senior faculty members, who can measure the effectiveness of the candidate's teaching through evaluation of his/her students' performance in more advanced classes. A comparison of the candidate's students' performance on core exams with those of established faculty will also be considered. The use and/or development of novel and useful teaching techniques, the installation of new teaching technologies, and the creation of new pedagogical materials such as textbooks and Web-based instructional tools will also be considered in the overall evaluation. It is expected that candidates for promotion and/or tenure will have student or faculty evaluations of their teaching performance, be they quantitative or qualitative, that meet or exceed those recorded for the department and college at large. Graduate education is an important mission of this department, and the successful candidate is expected to have nurtured one or more Ph.D. candidates to graduation or to close to graduation.

**Research:** The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication. Scholarly accomplishment will be measured by work published and the level of extramural funding. Scholarly journal articles, book chapters, and book manuscripts should be placed in the highest quality peer-reviewed outlets, those journals and presses generally regarded by colleagues in one's discipline as the top-tier publications on the basis of their selectivity, influence, and reputation for publishing innovative scholarship. Collaborative research with colleagues or students is encouraged, but it is also important that one clearly demonstrate scholarly independence and leadership through lead authorships from their own laboratory. Faculty must demonstrate that they have established an independent research laboratory with their own agenda and demonstrate that they have conceived a long-term trajectory for their research themes and

projects. Generally, research in the form of grant reports to granting agencies or other forms of non-refereed publication are of little value in a promotional dossier unless it is backed up by a productive level of publications in high-quality, peer-reviewed journals. The department regards external funding as an important measure of the regard of the candidate's peers for the significance of his/her research program. The amount of such funding is less important than the demonstration of both the willingness to seek such funding and the ability to attract it. Additional measures of research quality may include invited seminars at major academic institutions, industrial and governmental laboratories, conferences and workshops; evaluation by external reviewers, awards and other formal acknowledgements by peers at regional, national, and international levels; and extramural research funding from agencies that use competitive, peer-reviewed funding procedures. Recognition will also be given for patents and technology transfer based on innovative research.

Service: The faculty of the Department of Chemistry strongly believes that the efficient and productive functioning of the department, college, university, and one's disciplinary organization is directly related to the collaborative effort by all unit members. Although the service responsibilities assigned to Assistant Professors are generally a more modest proportion of their Distribution of Effort (DOE) than for tenured faculty, it is nevertheless important that all faculty members contribute conscientiously to the collective growth and development of the department, college and University. Therefore, active and contributive service on departmental, college, and university committees as well as to academic organizations is encouraged and is considered demonstrative of one's magnanimous contribution to the academic commonwealth. While assignment to committees can be documented, it is performance that counts. Also, there are numerous non-committee service efforts, usually done on a voluntary basis, that contribute significantly to the efficient execution of the mission of the department. Therefore, the collective opinion of the faculty will be considered in the evaluation of a candidate's service.

#### Tenure and Promotion to Professor

Promotion to Professor requires that a faculty member has realized the professional promise implicit in the award of tenure. The candidate must demonstrate that his/her academic research efforts are recognized by distinguished peers, both nationally and internationally. The record must show that the candidate has achieved an excellent research record with substantial contributions to the Department's educational mission. The candidate must excel at both graduate and undergraduate teaching and maintain an appropriate level of service to the department, college, university, discipline and the general public. The candidates for promotion to Professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department.

#### Special Title Series Faculty

Excellence in teaching, research, and service is a central tenet of the Department of Chemistry. Special title series faculty members are expected to sustain a commitment to undergraduate and graduate student education and training, to earn recognition for their academic achievements, to aid college and university colleagues in their academic and research missions, and to serve the chemical profession and the general public. The Department will set appropriate standards for accessing excellence and will assiduously mentor junior faculty to meet those standards. Faculty evaluation for promotion and tenure will be based upon a continuing record of effective teaching, production of original and innovative scholarship, and capable service to the department, college, university and state.

#### Expectations

#### Tenure and promotion to Associate Professor

The successful candidate will have demonstrated a continuing record of high-quality effective teaching and advising. This will be measured primarily through a teaching portfolio that contains input from students in the form of ratings, comments on course evaluation questionnaires, interviews and letters from former students. The opinions of senior faculty members, who can measure the effectiveness of the candidate's teaching through evaluation of his/her students' performance in more advanced classes will be most important. Peer evaluations conducted by faculty in the unit, evaluation of course syllabi and course summaries, and any other means that will attest to the candidate's teaching effectiveness should be a part of the portfolio. The successful candidate will further demonstrate research and scholarly accomplishments that are consistent with agreed upon expectations for the position. These accomplishments will be measured in part by external letters of assessment solicited by the College. They will also be measured by performance in the following areas as appropriate to the discipline: (1) publication of research/scholarship results in high-quality, peer-reviewed journals, books or other publication media in the discipline; (2) a record of peer-reviewed, external research funding indicating that the candidate will be able to provide a sufficient level of support for his or her future research efforts; (3) a significant record of invited and/or contributed talks at major academic institutions, industrial and governmental laboratories, conferences and workshops; (4) receipt of professional honors and awards; (5) the effective direction of doctoral or master's studies of graduate students; and (6) any other accomplishments demonstrating that the candidate is a good scholar. Appropriate levels of quality service to the Department, College, and University must also be maintained. To the extent that service, as reflected in the DOE, is a major component of responsibility it will become a major component in the overall evaluation.

#### Promotion to Professor

The successful candidate will have realized the promise implicit in the award of tenure. A continuing record of high-quality teaching and service appropriate to the position should be evident along with a strong indication that it will be maintained. In addition, the faculty member must have developed an external reputation that reflects significant and sustained accomplishment beyond that attained at the time of the award of tenure and promotion to Associate Professor.

*(Approved August 5, 2004)*

## IV. Earth and Environmental Sciences

### Guidelines for Faculty Promotion, Tenure, and Evaluation

#### General Guidelines

Continued engagement and excellence in teaching, research, and service are the standards that should guide each faculty member's participation in the Department and in the geological profession. To sustain this commitment to the students and faculty of the Department, College, and University, the geological profession, and the public, the Department provides the following guidelines for assessing excellence and engagement. In general, faculty evaluation for promotion and tenure will be based upon a continuing record of high-quality, effective teaching and advising at multiple levels of instruction; substantive, original, and innovative scholarship; and effective service.

**Teaching** - The successful candidate for promotion will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both undergraduate and graduate levels is expected.

**Research** - The successful candidate for promotion and tenure must demonstrate substantive, original, and innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate, peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication.

Collaborative research leading to coauthored publications with one's students and colleagues is important and highly encouraged. It is also important to publish papers as the lead author or as a single author. Similarly, while publishing one's dissertation is highly desirable and publishing with one's dissertation advisor is often appropriate, faculty must demonstrate that they have established an independent and original research agenda and have conceived short-, intermediate-, and long-term trajectories for their research themes and projects.

Research in the form of grant reports to granting agencies or other forms of non-refereed publication is generally considered to be of little value in a promotional dossier unless it is backed up by a productive level of publications in high-quality, peer-reviewed journals.

**Service** - Although the service responsibilities assigned to assistant professors are generally modest, it is required that all faculty members contribute conscientiously to the collective growth and development of the Department, College, University, and profession.

More specific guidelines for promotion at each level and continuance in rank are presented below.

#### Regular Title Series Faculty

##### Tenure and Promotion to Associate Professor:

**Teaching** - The successful candidate for promotion to Associate Professor with tenure will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduates and/or graduate students as appropriate. A balanced teaching load of lower and upper division levels for undergraduates, as well as graduate-level instruction, is expected. For a research-active faculty candidate with a standard

DOE (45-45-10), three courses per year is considered to be the typical teaching load, although the load may be increased or decreased depending upon changes to other parts of the DOE.

Advising graduate students to successful completion and defense of research projects for graduate degrees is also expected.

Teaching assessment will include a review of the candidate's quantitative and qualitative teaching evaluations and student comments for each semester, comments from faculty or other persons qualified to know about the candidate's teaching and advising, and an evaluation of the candidate's teaching portfolio. The teaching portfolio should contain a statement of teaching philosophy, representative syllabi and other course materials, letters from current and former students, information about any teaching awards, and any other materials that may indicate the candidate's teaching effectiveness. The candidate should strive to achieve evaluations, quantitative or qualitative, that meet or exceed Department and College averages.

Research - The successful candidate must demonstrate substantive, original and innovative, intellectual contributions to scholarship through publication of research in refereed venues sufficient for the development of a national reputation as indicated by appropriate external reviewers, generally from institutions of the same or higher caliber as our own. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication. Substantive publication is generally considered to be an average of three refereed publications per every two years, averaged over the current and previous two review periods, although high-quality publications of exceptional length or quality may be given additional weight. Scholarly accomplishment will be measured by work published and the ability to acquire funding sufficient to support the research and one or more graduate-student research assistants. In general, research funding is expected because it shows that outside reviewers deem the research significant enough to warrant support, and as with publication outlets, grants from agencies that comply with rigorous, peer-reviewed application procedures are generally the best measures of high-quality research programs and proposals. Research funding is also important in that it enables the Department to further its mission in graduate education.

The Department also believes that timely presentation of one's research at professional meetings, field trips, and other venues is an important endeavor, in that it enhances dissemination, increases the faculty member's exposure, and helps to build faculty and departmental reputation. Hence, regular presentation of completed and ongoing work at professional meetings is expected.

Although all refereed publications will be considered significant, effort should be made to have some work published in the highest quality, peer-reviewed outlets, those journals generally regarded by colleagues in one's subdiscipline as top-tier publications, as reflected in their selectivity, influence, and reputation for publishing innovative scholarship.

Service - The efficient and productive operation of the Department, College, University, and professional organizations is the product of collaborative effort by all Department members. Although the service responsibilities expected of an assistant professor should be more modest in nature than those expected for tenured faculty, it is important that assistant professors contribute conscientiously to the collective growth and development of the academic department and professional discipline. Therefore, active and contributive service on Departmental, College, and University committees, as well as to academic and professional organizations, is encouraged and considered demonstrative of one's willingness to contribute toward the continued maintenance and development of the academic and professional environment in the geological sciences.

Tenure and Promotion to Professor:

Promotion to Professor requires that faculty have continued to realize all aspects of the professional promise in teaching, research and service, implicit in the award of tenure as noted above. They must be recognized by distinguished peers, nationally and internationally, as having achieved a sustained and eminent research record at qualitative and quantitative levels at least as great as those necessary for awarding tenure. It is also expected that the faculty will have been able to attract sustained external funding to support research and graduate assistants and will have advised both M.S.- and Ph.D.-level graduate students through completion and defense of research projects. They must also excel at graduate and undergraduate teaching, and it is required that all candidates for promotion contribute more to the service mission than probationary faculty and that these contributions extend beyond the Department to the College, the University, the larger community, or the geologic discipline.

#### Guidelines for Evaluating Professors:

The successful Professor should continue to realize all aspects of the promise implicit in the awarding of the professorial rank. As intellectual leaders in the Department, it is expected that they maintain a funded research program that is highly visible at both a national and international level, actively recruit graduate students, publish in top-tier journals, be accomplished teachers, and mentor junior faculty. On occasion, it may become apparent that changes in the relative proportion, timing, and/or types of teaching, research, and service may better serve or promote the faculty, students, Department, and profession. Appropriate modification to a full professor's DOE could include changes in teaching load; change to administration or funded service; or a change from original research to the more synthetic and integrative research.

Inasmuch as the writing of scholarly books, textbooks and popular books requires a strong grasp of theory, method, and content and can contribute substantially toward student recruitment and the development of public understanding and appreciation of the discipline, such books and their impact, when balanced with a record of refereed publication, may be considered when evaluating the research record of a full professor.

#### Special Title Series Faculty

#### Tenure and Promotion to Associate Professor:

A successful candidate will have demonstrated a continuing record of high-quality, effective teaching and advising. This will be measured primarily by a teaching portfolio that contains input from students in the form of quantitative student ratings, student comments on course-evaluation questionnaires, student interviews, and letters from former students. Peer evaluations conducted by faculty in the Department, evaluation of course syllabi and course summaries, and any other means that will attest to the candidate's effectiveness should be a part of the portfolio. The successful candidate will further demonstrate research and scholarly achievements that are consistent with the established expectations for the position. These accomplishments will be measured in part by external letters of assessment from accomplished individuals in the field of geological pedagogy. Other areas for possible evaluation may include publication of geological or pedagogical research in quality, peer-reviewed journals or in other accessible media appropriate to the discipline; a record of attempts at external funding of geological research, pedagogical research, or teacher training; a record of invited talks at academic institutions; scholarly presentations at professional meetings, workshops, or field trips; invitations to attend workshops or conferences; receipt of teaching awards and honors; records of technological or pedagogical innovations in the field of geologic education; the effective direction and completion of student theses or dissertations; and any other accomplishments demonstrating that the candidate is becoming an accomplished pedagogical scholar. Appropriate levels of quality service to the Department, College, University and profession must also be maintained.

### Promotion to Professor:

Promotion to Professor requires that faculty have continued to realize all aspects of the professional promise implicit in the award of tenure as noted above. A continuing record of high-quality, teaching, research, and service appropriate to the position should also be evident along with a strong indication that this record will be maintained. In addition, the faculty member must have developed an external, national reputation reflecting significant and sustained accomplishment beyond that attained at the time of the award of tenure and promotion to Associate Professor. Acquisition of external funding that supports development of new pedagogical techniques, evaluative procedures, and outreach or professional development for pre-university teachers is highly encouraged.

*(Approved October 4, 2004)*

## V. English

### Promotion to Associate Professor with Tenure

Faculty evaluation for promotion and tenure will be based upon a continuing record of high-quality, effective teaching and advising at multiple levels of instruction; substantive, original and innovative scholarship, and effective service.

Candidates should also familiarize themselves with the University's criteria for tenure and promotion, accessible at [http://www.as.uky.edu/Admin/Faculty/Review/fac\\_review\\_rts.html](http://www.as.uky.edu/Admin/Faculty/Review/fac_review_rts.html) (College of Arts and Sciences) and <http://www.uky.edu/Regs/AR/> (University).

Candidates are required to provide complete, good faith information in and about their tenure file.

### Scholarship

The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication.

Because English is a diverse, changing field and the department includes many sub-fields, no single hierarchy of presses and journals can be specified. While the quality and significance of published work are more important than the place of publication, the department strongly encourages its members to publish in selective outlets that are highly regarded within (and preferably beyond) their sub-disciplines. The applicant's scholarly record should consist primarily of work that is peer-reviewed. For outlets in which the extent of peer review may vary, such as electronic sites and essays in edited collections, the department may solicit information about the review process. Normally, work published while the candidate was in graduate school will not be considered. All candidates for promotion and tenure must demonstrate that s/he has established an independent research profile.

The research record will generally take one of two forms. In one form, a standard profile consists of the publication of a scholarly or creative book with a major, respected press, generally accompanied by a small number of articles and/or creative pieces. The candidate must provide evidence of full, unconditional acceptance of the book; a contract based on an incomplete manuscript or contingent upon substantial revisions will not fulfill the research requirement. Whether or not a candidate publishes a version of the dissertation, s/he must demonstrate what research, writing, and publishing has been done during the probationary period. In the case of a co-authored book, the candidate must demonstrate the extent of the collaboration.

In the other form, candidates may present a series of scholarly articles, poems, essays, and/or short stories equivalent to a book in substance, published in selective, peer-reviewed outlets. In some sub-fields this may be the preferred form of publication. This second path is a legitimate one for tenure, if quantity and quality are substantial.

Candidates taking either path may also show evidence of sustained scholarly and/or creative activity in other ways such as editing books and special journal issues, and writing textbooks. In addition to these publications, other forms of professional engagement such as delivering conference papers and refereeing professional publications are also relevant. However, while all of these contributions amplify a

candidate's file, they do not substitute for scholarly and/or creative work published by respected journals and presses.

### Teaching

All applicants must demonstrate high-quality, effective teaching and academic advising at both the undergraduate and graduate level. Effective teachers in the Department of English must show concern for their students' academic success, encourage students' interest in the subject and expect substantial accomplishment from them, successfully communicate their knowledge to students, respond to student work constructively and grade it fairly, and make themselves accessible to students. Evidence of effectiveness includes strong teaching evaluations and documentation of challenging, useful, and carefully designed courses that reflect the current state of knowledge in their field. The Department will also take account of other contributions to instruction such as planning and teaching new courses; transforming seminars into large lecture courses due to University needs, and training graduate teaching assistants.

### Service

Although the service responsibilities assigned to assistant professors are generally modest, it is required that all faculty members contribute conscientiously to the collective growth and development of the department, college and University.

### Promotion to Full Professor

#### Research

Candidates must have achieved a substantial research record in the form of a book, a series of articles, or a series of creative pieces as described above, to have been produced after tenure was conferred, and must show the promise of continuing productivity. The candidate should also demonstrate a firmly established international reputation well beyond what is expected for tenure.

#### Teaching

Candidates must demonstrate sustained teaching excellence as described above. If appropriate to their subfield, they should also demonstrate involvement in the graduate program by teaching graduate classes, chairing and/or serving on graduate committees, and guiding graduate students to the successful completion of their degree.

#### Service

The candidates for promotion to full professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department.

*(Approved September 17, 2004)*

## VI. Geography

### Regular Title Series Faculty

Excellence in teaching, research, and service is a central tenet of the Department of Geography. To sustain this commitment to undergraduate and graduate students; departmental, college and university colleagues; as well as members of the profession and public more generally, the department will maintain appropriate guidelines for assessing excellence and will mentor faculty to meet or exceed University standards. Faculty evaluation for promotion and tenure will be based upon a continuing record of effective and committed teaching and advising at all levels of instruction; substantive, original, and innovative scholarship; and effective service.

### Guidelines for Tenure and Promotion to Associate Professor

**Teaching:** The successful candidate for promotion to Associate Professor with tenure will demonstrate a continuing record of high-quality and effective teaching and advising at all levels of instruction. A balanced teaching responsibility at the lower and upper division levels for undergraduates as well as graduate seminar instruction is required. Formal and informal advising for undergraduate and graduate students is an important aspect of teaching and will be assessed as appropriate. Teaching assessment will include a review of the candidate's quantitative and qualitative teaching evaluations conducted each semester and other student ratings and comments, and an evaluation of a teaching portfolio. A portfolio should contain a teaching philosophy statement, course syllabi and materials, letters from current and former students, departmental-, college-, or university-level teaching awards, and other materials that may attest to the candidate's teaching effectiveness.

**Research:** The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication of research in appropriate peer-reviewed venues. The candidate must also provide evidence of a long-term commitment to scholarly research and publication. Scholarly accomplishment will be measured by work published and, where appropriate, extramural funding. Scholarly journal articles, book chapters, edited books, and sole-authored books should be placed in the highest quality peer-reviewed outlets, those journals and presses generally regarded by colleagues in one's subdiscipline as the top tier publications as reflected in their selectivity, influence, and reputation for publishing innovative scholarship. While collaborative research with colleagues or students is encouraged, it is also important that one demonstrate scholarly independence and leadership through lead or single authorship. Faculty must also demonstrate that they have established an independent and original research agenda and have conceived a short, intermediate, and long-term trajectory for their research themes and projects. Generally, research work whose only publication outlet is in the form of grant reports to granting agencies or other forms of non-refereed publication is of little value in a promotional dossier. Additional measures of research quality may include, where appropriate, evaluation by external reviewers, awards and other formal acknowledgements by peers at regional, national, and international levels, and extramural research funding. As with publication outlets, grants from agencies that comply with rigorous peer-reviewed application procedures are generally the best analogs of high quality research programs and proposals. Note that external funding as an indicator of research achievement should be validated by refereed publication.

**Service:** The efficient and productive functioning of the department, college, university, and scholarly and professional organizations is the net product of collaborative effort by all unit members. Although the service responsibilities assigned to Assistant Professors are generally a more modest proportion of their Distribution Of Effort (DOE) than for tenured faculty, it is nevertheless important that all faculty contribute conscientiously to the collective growth and development of the academic milieu of their

colleagues and students. Therefore, active and contributive service on departmental, college, and university committees as well as to academic organizations is encouraged and is considered demonstrative of one's magnanimous contribution to the academic commonweal.

#### Guidelines for Tenure and Promotion to Professor

Promotion to Professor requires that faculty have realized the professional promise implicit in the award of tenure as exemplified by a continuing record of distinguished research and publication, teaching and advising, and service since promotion to Associate Professor. They must be recognized by distinguished peers nationally and internationally as having achieved an eminent research record. They must excel at graduate and undergraduate teaching and maintain an appropriate level of service to the department, college, university, the larger community, as well as their discipline. Specifically, the Geography Department has the highest professional expectations of its Professor rank faculty and we offer the following guidelines for promotion to this rank.

**Teaching:** The successful candidate for promotion to Professor with tenure will demonstrate a strong continuing record of high-quality and effective teaching and advising. A balanced teaching responsibility at that lower and upper division levels for undergraduates as well as graduates is expected of Professor rank faculty. High quality formal and informal advising for undergraduate and graduate students is a key expectation. Teaching assessment will include a review of the candidate's quantitative and qualitative teaching evaluations conducted each semester and other student ratings and comments, and an evaluation of a teaching portfolio. A portfolio should contain a teaching philosophy statement, course syllabi and materials, letters from current and former students, departmental-, college-, or university-level teaching awards, and other materials that may attest to the candidate's teaching effectiveness. Concomitant with their classroom and advising responsibilities, candidates for Professor should demonstrate leadership in this area by, for example, serving as Director of Undergraduate Studies, Director of Graduate Studies, chairing or serving actively on the Undergraduate or Graduate Program committees, periodically teaching core undergraduate and graduate courses, advising undergraduate students taking independent study courses or working on special honors or capstone experience projects, serving as advisors to MA and PhD graduate students, serving as advisory committee members for graduate students, recruitment of graduate students through attendance and program participation at national and regional academic meetings, demonstrating teaching innovation through the design of new classes, major course revisions, and incorporating appropriate pedagogic technology into courses. Candidates for promotion to Professor should also participate in the department's Faculty-Teaching Assistant Mentoring Program (FTAMP), and otherwise exhibit full engagement with the department's teaching mission.

**Research:** The successful candidate for promotion to Professor must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication of research in appropriate venues. The candidate must provide evidence of a programmatic research and publication program that includes short-, intermediate-, and long-term projects. Scholarly accomplishment will be measured by the quantity and quality of work published and, where appropriate, extramural funding. Scholarly journal articles, book chapters, edited books, and sole-authored books are acceptable venues for published research and should be placed in the highest quality peer-reviewed outlets, those journals and presses generally regarded by colleagues in one's subdiscipline as the first rank publications as reflected in their selectivity, influence, and reputation for publishing innovative scholarship. While collaborative research with colleagues or students is encouraged, it is also important that faculty demonstrate scholarly independence and leadership through lead or single authorship. Generally, research work whose only publication outlet is in the form of grant reports to granting agencies or other forms of non-refereed publication is of little value in a promotional dossier. Additional measures of research quality may include, where appropriate, evaluation by external reviewers, awards and other formal acknowledgements by peers at regional, national, and international levels, and extramural research funding. As with publication outlets, grants

from agencies that comply with rigorous peer-reviewed application procedures are generally the best analogs of high quality research programs and proposals. Examples of other research-related activity that attest to the high caliber of one's research program include invitations to present research findings at benchmark or equivalent institutions, or participation in important plenary panels at national meetings.

**Service:** The efficient and productive functioning of the department, college, university, and one's disciplinary organization is the net product of collaborative effort by all unit members. Service responsibilities assigned to Associate Professors and Professors are generally substantial and should be so reflected in their Distribution Of Effort (DOE). While all faculty must contribute conscientiously to the collective growth and development of the academic milieu of their colleagues and students, this responsibility is especially important for tenured faculty. Therefore, active leadership and contributive service on departmental, college, and university committees as well as to academic organizations is required and is considered demonstrative of one's magnanimous contribution to the academic commonweal. Chairing important committees at the departmental level, chairing or serving on college and university committees, initiating innovative research and teaching programs such as interdisciplinary reading groups, collaborative research, and joint or adjunct appointments with other university units are examples of service commitment and leadership. Within one's academic discipline, service as a journal editor, on journal editorial boards, serving on grant review panels for national granting agencies, service as an officer in a regional or national professional association such as the Southeastern Division of the Association of American Geographers or the Association of American Geographers are all examples.

#### Special Title Series Faculty

Excellence in teaching, research, and service is a central tenet of the Department of Geography. To sustain this commitment to undergraduate and graduate students; departmental, college and university colleagues, as well as members of the profession and public more generally, the department will maintain appropriate standards for accessing excellence and will assiduously mentor faculty to meet those standards. Faculty evaluation for promotion and tenure will be based upon a continuing record of effective and committed teaching; substantive, original, and innovative research or other creative work; and effective service commensurate with the person's Distribution of Effort. How the expectations listed below apply depends upon the nature of the appointment and the individual's DOE.

#### Guidelines

##### Tenure and Promotion to Associate Professor

Appointment and promotion shall be based on achieving excellence in the areas prescribed by the agreement with the faculty member as set out in the approved document that establishes the position, considering the DOE and, when they occur, yearly updates to the faculty member's duties. Because each special title series appointment depends upon a crafted document, developed before the faculty member is employed, each such appointment is different, thereby requiring that the criteria for tenure and promotion be different from the Regular Title Series, and from all other Special Title Series faculty. However, each such appointment in Arts & Sciences will doubtless require one or more of the following: teaching, advising, research or other creative work, service or administration, curriculum development, or computer programming to support a scholarly field.

**Teaching:** If the Special Title position requires significant teaching, then the successful candidate will have demonstrated a continuing record of high-quality effective teaching. This will be measured primarily by a teaching portfolio that contains input from students in the form of student ratings, student comments on course evaluation questionnaires, student interviews and letters from former students. Peer evaluations conducted by faculty in the unit, evaluation of course syllabi and course summaries, and any

other means that will attest to the candidate's teaching effectiveness should be a part of the portfolio. If the Special Title position requires significant advising then the successful candidate will have demonstrated a continuing record of high-quality effective advising. This will be measured primarily by a teaching portfolio that contains input from students in the form of student interviews and letters from former students. Peer evaluations conducted by faculty in the unit, and any other means that will attest to the candidate's advising effectiveness should be a part of the portfolio. If the Special Title position requires significant curriculum and teaching development, then the successful candidate will have developed materials that are used nationally and internationally, and have received excellent reviews in scholarly as well as industry journals.

**Research:** If the Special Title position requires significant research or other creative work, then the successful candidate will demonstrate research and scholarly accomplishments that are consistent with agreed upon expectations for the position. These accomplishments may be measured in part by external letters of assessment solicited by the College. They may also be measured by performance in the following areas as appropriate to the discipline: publication of research/scholarship results in the highest-quality peer-reviewed journals or, in the case of books, presses or other publication media in the discipline; if appropriate to the discipline a record of peer-reviewed external research funding indicating that the candidate may be able to provide a sufficient level of support for his or her future research efforts; a significant record of invited and/or contributed talks at major academic institutions, industrial and governmental laboratories, conferences and workshops; receipt of professional honors and awards; the effective direction of doctoral or masters studies of graduate students; and any other accomplishments demonstrating that the candidate is a capable scholar.

**Service:** If the Special Title position requires significant service, then such activity shall be evaluated by appropriate officers, administrators, or peers appropriate to the position. Appropriate levels of quality service to the Department, College, and University must also be maintained. If the Special Title position requires significant computer programming, then such programs shall be put in use by educators, scholars, or practitioners in the field of endeavor, and shall have received excellent reviews from colleagues or journals in the field.

## Guidelines

### Tenure and Promotion to Professor

The associate professor who is a successful candidate for promotion to Professor will have realized the promise implicit in the award of tenure. A continuing record of high-quality activity appropriate to the position should be evident along with a strong indication that it will be maintained. In addition, the faculty member must have developed an external reputation reflecting significant and sustained accomplishment beyond that attained at the time of the award of tenure, and promotion to Associate Professor.

**Teaching:** If the Special Title position requires significant teaching and advising, then the successful candidate for promotion will have demonstrated a continuing record of high-quality effective teaching and advising. This will be measured primarily by a teaching portfolio that contains input from students in the form of student ratings, student comments on course evaluation questionnaires, student interviews and letters from former students. Peer evaluations conducted by faculty in the unit, evaluation of course syllabi and course summaries, and any other means that will attest to the candidate's teaching effectiveness should be a part of the portfolio.

**Research:** If the Special Title position requires significant research then the successful candidate will further demonstrate research and scholarly accomplishments that are consistent with agreed upon

expectations for the position. These accomplishments will be measured in part by external letters of assessment solicited by the College. They will also be measured by performance in the following areas as appropriate to the discipline: publication of research/scholarship results in the highest-quality peer-reviewed journals or, in the case of books, presses or other publication media in the discipline; if appropriate to the discipline a record of peer-reviewed external research funding indicating that the candidate will be able to provide a sufficient level of support for his or her future research efforts; a significant record of invited and/or contributed talks at major academic institutions, industrial and governmental laboratories, conferences and workshops; receipt of professional honors and awards; the effective direction of doctoral or masters studies of graduate students; and any other accomplishments demonstrating that the candidate is an outstanding scholar.

Service: If the Special Title position requires significant service then the individual must also demonstrate leadership in quality service to the department, college, and university. To the extent that service, as reflected in the DOE, is a major component of responsibility it will become a major component in the overall evaluation.

In any area where the Special Title position requires significant activity, the associate professor will be held to a high degree of excellence, commensurate with her or his distribution of effort.

*(Approved October 2, 2004)*

## VII. Hispanic Studies

### Guidelines for Faculty Promotion & Tenure

#### Regular Title Series

Faculty evaluation for promotion and tenure will be based upon a continuing record of high-quality, effective teaching and advising at multiple levels of instruction; substantive, original and innovative scholarship, and effective service.

#### Evaluation of Faculty in the Area of Research

The Department of Hispanic Studies will maintain standards consistent with the University's classification as a Research-1 institution by encouraging faculty to sustain an active research agenda. The chief guideline for the evaluation of scholarship should be quality, originality and impact on the scholarly community. The successful candidate for promotion and tenure must demonstrate substantive, original, and innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication. Research will be evaluated on the basis of 1) the publication of books by foreign and/or domestic presses of reputable standing, which stipulate a review process by noted scholars in the field, 2) scholarly contributions in quality journals, and 3) the delivery of papers at professional conferences, since a paper is, in principle, an important step toward completing a scholarly publication.

#### Promotion to Associate Professor

Assistant Professors are expected to provide tangible evidence of an active and sustained research agenda (e.g., books and articles in press or submitted, received or submitted grants, fellowships, awards honoring research). However, when external funding is used as an indicator of research achievement it should be validated by refereed publication. The applicant's scholarly record should consist primarily of work that is peer-reviewed in outlets (print or electronic) that are highly regarded within the discipline. Normally, all work published since the candidate received the Ph.D. will be considered.

Because Hispanic Studies is a diverse field that encompasses many specializations and the department involves both Hispanic Literature & Culture and Hispanic Linguistics, the research record might take one of two forms designed to maintain a level of particularity for the two dominant areas of specialization in the department.

In one form (emphasis in Hispanic Literature and Culture), guidelines for the research portfolio for Assistant Professors include:

- a) one major book:
  - a scholarly study of a critical or analytical nature, or
  - a major critical edition, and
- b) six full-length articles in major journals; or
- c) five full-length articles in major journals for the entire term and three papers presented at professional conferences during the two years preceding the year of evaluation.

The book must be published in a respected press. Depending on their merit, chapters in books and article-length studies in anthologies and proceedings will be considered equivalent to full-length articles in major

journals. Likewise, the evaluation committee will examine each critical edition in order to determine whether it constitutes a major contribution. If the candidate publishes a version of the dissertation in monograph or article form, s/he must demonstrate what additional research and writing has been done in the dissertation manuscript during the probationary period.

In the other form, (emphasis in Hispanic Linguistics), the guidelines include:

- a) one major book or a comparable body of work:
  - a scholarly study of a critical or analytical nature, or
  - a major critical edition, or
  - a textbook, or
  - a series of full-length articles within a coherent research program; and
- b) six full-length articles in major journals; or
- c) five full-length articles in major journals for the entire term and three papers presented at professional conference during the two years preceding the year of evaluation.

The book must be published in a respected press. In some sub-fields a series of scholarly articles may be the preferred form of publication. The alternatives to the scholarly study should be demonstrated as being of equal research effort, scope, and contribution to the field. On the basis of merit, the evaluation committee will examine each critical edition or textbook in order to determine whether it constitutes a major contribution. Critical editions are considered "major" when they include: 1) a substantial, ground-breaking introduction that draws new conclusions and new interpretations, 2) scholarly annotation, and 3) a critical apparatus. Textbooks of all types and for all levels must demonstrate an original, intellectual contribution to the field. Textbooks that provide didactic materials or that synthesize existing research, theories, and concepts must provide additional scholarly insight through a substantial and innovative recrafting or recontextualization of those materials, theories, and concepts.

For either specialization, collaborative work and other kinds of publications will be evaluated as follows:

Collaborations: Publications may be co-authored with the understanding that in all collaborative work the candidate should demonstrate the extent of his/her contribution to the project. While collaborative research with colleagues or students is encouraged, it is also important that one demonstrate scholarly independence and leadership through lead or single authorship.

Other publications: Such enterprises as translations, creative writing, compendia and interviews will be judged on their relative merit. Candidates may also show evidence of sustained scholarly and/or creative activity in other ways such as editing books and special journal issues, and (for specialists in Literature and Cultural Studies) writing textbooks. In addition to publications, other forms of professional engagement such as delivering conference papers and refereeing professional publications are also relevant. However, while contributions such as conference papers and fictional or autobiographical work amplify a candidate's file, they do not substitute for scholarly work published by respected journals and presses.

#### Promotion to Full Professor

Associate Professors are expected to provide tangible evidence of an active and sustained research agenda (*e.g.*, books and articles in press or submitted, received or submitted grants, fellowships, awards honoring research). However, when external funding is used as an indicator of research achievement it should be validated by refereed publication.

Guidelines for the research portfolio for Associate Professors include the following achievements produced since promotion with tenure:

Hispanic Literature and Culture:

- a) a book published in a respected press:
  - a scholarly study of a critical or analytical nature, or
  - a major critical edition\*; and
- b) evidence of another book project in progress (e.g., several chapters or full draft manuscript); and
- c) a number of articles published in major journals that constitute a significant contribution to the field; and
- d) evidence of national and international recognition in the field (invited talks, participation in international symposia, special honors, invitations to participate in editorial boards, etc.).

\* The alternative to the scholarly study should be demonstrated as being of equal research effort, scope, and contribution to the field. On the basis of merit, the evaluation committee will examine each critical edition in order to determine whether it constitutes a major contribution. Critical editions are considered "major" when they include: 1) a substantial, ground-breaking introduction that draws new conclusions and new interpretations, 2) scholarly annotation, and 3) a critical apparatus.

Hispanic Linguistics:

- a) a book or a comparable body of work published in respected outlets:
  - a scholarly study of a critical or analytical nature, or
  - a textbook,\* or
  - a series of full-length articles within a coherent research program; and
- b) a number of articles published in major journals that constitute a significant contribution to the field; and
- c) evidence of national and international recognition in the field (invited talks, participation in international symposia, special honors, invitations to participate in editorial boards, etc.).

\* Textbooks of all types and for all levels must demonstrate an original, intellectual contribution to the field. Textbooks that provide didactic materials or that synthesize existing research, theories, and concepts must provide additional scholarly insight through a substantial and innovative recrafting or recontextualization of those materials, theories, and concepts.

For either specialization, collaborative work and other kinds of publications will be evaluated as follows:

Collaborations: Publications may be co-authored with the understanding that in all collaborative work the candidate should demonstrate the extent of his/her contribution to the project. While collaborative research with colleagues or students is encouraged, it is also important that one demonstrate scholarly independence and leadership through lead or single authorship.

Other publications: Depending on their merit, chapters in books and article-length studies in anthologies and proceedings will be considered equivalent to full-length articles in major journals. Likewise, the evaluation committee will examine each critical edition in order to determine whether it constitutes a major contribution. Such enterprises as translations, creative writing, compendia and interviews will be judged on their relative merit. Candidates may also show evidence of sustained scholarly and/or creative activity in other ways such as editing books and special journal issues, and (for specialists in Hispanic Literature and Culture) writing textbooks. In addition to publications, other forms of professional engagement such as delivering conference papers and refereeing professional publications are also

relevant. However, while contributions such as conference papers and fictional or autobiographical work amplify a candidate's file, they do not substitute for scholarly work published by respected journals and presses.

Faculty who have attained the rank of full professor are expected to continue their research agenda and to publish a proportionate number of articles and books to the years of research.

#### Evaluation of Faculty in the Area of Teaching

The successful candidate for promotion will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both the undergraduate and graduate level is expected. When evaluating a faculty member's performance, in-class effectiveness as gauged by student evaluations will be considered to be one indication among many. Excellence in this category will also be determined by course objectives and organization as reflected by syllabi; rigor in assessing student performance; the diversity of courses taught; contributions by the faculty member to the general educational structure of the university; participation of the faculty member in the continuing campus dialogue regarding teaching activities; peer evaluations of classroom performance. All faculty are expected to mentor, advise, and to assist graduate students to the successful completion of their degree by directing dissertations, serving on doctoral committees and exams, and providing other mentoring to assist job placement.

In addition, achievements beyond the scope of normal classroom instruction may include the following:

- a) developing and teaching new courses, especially those added to the university catalogue;
- b) documenting achievements in the area of teaching that go beyond the scope of normal classroom instruction, such as the direction of independent studies courses, mentoring activities in recognized university programs, or directing Ph.D. theses;
- c) teaching courses required of UK's general education program (*e.g.*, capstone, study abroad, etc.);
- d) teaching an exceptionally diverse slate of courses;
- e) directing three or more sections of a course, for which they impart pedagogical guidance to section leaders, and for which they design the syllabi and examinations.

#### Evaluation of Faculty in the Area of Service and Administration

All faculty members are expected to perform significant service tasks that ensure the smooth operation and continued advancement of the department. Further, their service/administration performance should increase the department's visibility and collegial presence in all matters affecting the teaching and research missions of the university community. Although the service responsibilities assigned to Assistant Professors are generally modest, it is required that all faculty members contribute conscientiously to the collective growth and development of the department, college and University. The candidates for promotion to full professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department.

Assistant Professors are expected to:

- a) assist in the organization of the annual Kentucky Foreign Language Conference; and
- b) participate in the management of the annual Kentucky State Foreign Language Festival; and
- c) serve on at least two departmental committees, as elected; or serve on at least one College-level committee, as elected or nominated.

Associate Professors are expected to:

- a) assist in the organization of the annual Kentucky Foreign Language Conference; and

- b) participate in the management of the annual Kentucky State Foreign Language Festival; and
- c) assist with the mentorship of graduate students through participation in departmental workshops; and
- c) demonstrate a leadership role in service within the department, including as Chair of one of the standing committees, or organizer of one of the KFLC divisions; and
- d) demonstrate an increasing level of service to the College and/or the University, through membership on elected committees, University Senate, inter-departmental committees, College or University task forces, etc.

Additionally, it is expected that Associate Professors will expand their activities by engaging in professional activities such as:

- a) a position in a national/international organization; or
- b) organization-execution of a conference, symposium, or workshop; or
- c) invitation-sponsorship of scholars and artists to campus for lectures or seminars; or
- d) editorial responsibility for scholarly journals; or
- e) peer evaluations of articles for publication in scholarly journals; or
- f) peer evaluations of book manuscripts for publication by scholarly presses; or
- g) professional service to the community.

### Special Title Series

#### Evaluation of Faculty in the Area of Teaching

Successful candidates should demonstrate a continuous record of high-quality and effective teaching and advising. Since they are “teaching specialists,” Special Title Series faculty should show an awareness of pedagogical theory and practice in their field.

When evaluating a faculty member’s performance, in-class effectiveness as gauged by student evaluations will be considered to be one indication among many. Excellence in this category will also be determined by course objectives and organization as reflected by syllabi; rigor in assessing student performance; the diversity of courses taught; contributions by the faculty member to the general educational structure of the university; participation of the faculty member in the continuing campus dialogue regarding teaching activities; peer evaluations of classroom performance.

Assistant/Associate Professors must receive satisfactory evaluations on their teaching performance. Faculty will provide copies of their syllabi in their teaching dossier. In addition, achievements beyond the scope of normal classroom instruction may include the following:

- a) developing and teaching new courses, especially those added to the university catalogue;
- b) documenting achievements in the area of teaching that go beyond the scope of normal classroom instruction, such as the direction of independent courses, or mentoring activities in recognized university programs;
- c) teaching courses required of UK’s general education program (e.g., capstone, study abroad, etc.)
- d) teaching an exceptionally diverse slate of courses
- e) directing three or more sections of a course, for which they impart pedagogical guidance to section leaders, and for which they design the syllabi and examinations.

#### Evaluation of Faculty in the Area of Research

#### Promotion to Associate Professor

Special Titles Series faculty are “teaching specialists” whose concentration is in this area. However, Assistant Professors are expected to provide tangible evidence of an active and sustained research agenda (*e.g.*, books and articles in press or submitted, received grants, fellowships, awards honoring research or evidence of a book project in progress).

Textbooks will be considered for this category.

#### Promotion to Full Professor

Associate Professors are expected to provide tangible evidence of an active and sustained research agenda (*e.g.*, books and articles in press or submitted, received grants, fellowships or awards honoring research).

Such enterprises as translations, creative writing, compendia and interviews will be judged on their relative merits. Candidates may also show evidence of sustained scholarly and/or creative activity in other ways such as editing books and special journal issues, and writing textbooks. In addition to publications, other forms of professional engagement such as delivering conference papers and refereeing professional publications are also relevant. However, while these contributions amplify a candidate’s file, they do not substitute for scholarly work published by respected journals and presses.

#### Evaluation of Faculty in the Area of Service and Administration

All faculty members are expected to perform significant service tasks that increase the department’s visibility and collegial presence in all matters affecting the teaching and research mission in the university community. To the extent that service is a large part of a Special Title Series faculty member’s DOE and responsibilities, service will be a major component in the overall evaluation for promotion and tenure. It is expected that Assistant Professors will be held to a lower standard in this category than are associate or full professors.

Assistant/Associate Professors are expected to:

- a) serve on at least two departmental committees, or as elected; or
- b) serve as director of our beginning language program (ELIC); or
- c) serve as Director of Undergraduate Studies.

Faculty who meet the guidelines above may expand their activities by combining it with such professional activities as:

- a) a position in a national/international organization; or
- b) organization-execution of a conference, symposium or workshop; or
- c) invitation-sponsorship of scholars and artists to campus for lectures/seminars;
- d) editorial responsibility for international-national journals; or
- e) peer-reviewed evaluations of articles solicited by major journals; or
- f) peer-reviewed evaluations of books solicited by major scholarly presses; or
- g) participation in a campus committee that requires an extensive commitment; or
- h) professional service to the community.

*(Approved July 2, 2007)*

## VIII. History

### Guidelines Faculty Appointment, Promotion, Tenure, and Merit Review

#### Departmental Mission and Principles

The Department of History is committed to fostering excellence in scholarship, teaching, and service, for the benefit of students and faculty at the University of Kentucky, the national and international community of scholars, teachers, and students of history and associated disciplines, and the public at large. To advance this mission, the Department expects all of its members to meet high standards of excellence in scholarship and teaching and to provide diligent service to the department, the university, the community, and the historical profession. All members of the Department are expected to be productive in each of these areas. Faculty evaluation for promotion and tenure will be based upon a continuing record of high-quality, effective teaching and advising at multiple levels of instruction; substantive, original and innovative scholarship, and effective service.

#### Measures of Excellence: Definitions

##### Scholarship

Scholarly accomplishment includes the following, in descending order of value for appointment, tenure, promotion, and merit review:

- substantive, original, innovative intellectual contributions to historical scholarship recognized as such by peer evaluation and significant prizes awarded after publication, published in monographs, chapters in essay collections, journal articles, and in the form of scripts for historical documentaries and dramatization; faculty are responsible for identifying, as precisely as possible, their contribution to a co-authored work.
- original synthesis of historical scholarship (e.g., textbooks and textbook chapters; survey and state-of-the-art articles, chapters, and substantive review essays; encyclopedia articles; annotated and contextualized catalogs for museum exhibitions; edited, annotated, and contextualized documentary collections).
- acknowledgement of scholarly distinction by peers as reflected in research grants and awards, appointment to editorial boards of scholarly journals, and selection to evaluate manuscripts for acceptance by scholarly presses and journals. External funding as an indicator of research achievement should be validated by refereed publication.
- presentation of scholarly papers at professional conferences in the appropriate sub-field
- book reviews; participation as commentator at professional conferences
- participation as scholar consultant or director in public history projects, teacher institutes, public history site evaluations, and public education projects with competitive public or foundation support (reflecting public recognition of scholarly expertise and distinction); selection as subject-specific speaker in association with such projects

Scholarly publication outlets that are most highly valued for appointment, tenure, and promotion are those that employ rigorous peer evaluation as an essential part of their acceptance process. Such outlets include top quality presses and journals (and, when rigorous peer evaluation is part of the acceptance process, e-journals and other electronic publishing venues and commercial presses.) Publication in lesser quality presses and journals, e-publications, and other periodicals and formats that rely on editorial judgment in lieu of peer evaluation are less highly valued.

### Teaching and Advising

Effectiveness of teaching will be measured by qualitative and quantitative assessment of the following:

- teaching portfolio, including teaching philosophy statement, course syllabi and supplementary materials, letters from current and former students, etc., that demonstrate continued growth and development pedagogically, theoretically, and methodologically
- for candidates for tenure only: a minimum of three peer evaluations based on three different classroom visitations
- teaching awards from the university, competitive internal and external grants for curriculum development and pedagogy, and other forms of recognition of merit
- student ratings and comments

Effectiveness of undergraduate advising and graduate student mentorship will be evaluated by qualitative and quantitative assessment of the following:

- maintenance of an appropriate undergraduate advising caseload
- participation on M.A. and Ph.D. committees
- conscientious participation in established procedures for graduate student evaluation

### Service

Appropriate service will consist of these kinds of activities:

- active participation in committees at the program, department, college, and university levels that contributes to the well-being of the University of Kentucky and strengthens its engagement with the larger community
- organization of symposia, panels, speaker series, and other activities that contribute to the intellectual life of the department, college, and university; and pursuit of internal and external funding to support institution building
- use of historical expertise in the public interest by participation in policymaking and consulting for units of government, private foundations, museums and historic sites, schools, and other types of institutions
- appointment or election to and active participation on boards and committees of professional organizations that serve the discipline and its sub-fields

## Appointments

The Department of History expects its senior members to be distinguished scholars within the historical profession who have made significant contributions to scholarship in their fields and have demonstrated excellence as teachers of history at all levels of the curriculum. Junior members will be expected to demonstrate reasonable promise of achieving distinction in their fields by making significant contributions to the scholarship in those fields. They will also demonstrate likelihood of becoming effective teachers at all levels of the curriculum.

The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication.

The successful candidate for promotion will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both the undergraduate and graduate level, where appropriate, is expected.

Although the service responsibilities assigned to assistant professors are generally modest, it is required that all faculty members contribute conscientiously to the collective growth and development of the department, college and University.

To be eligible for appointment as Associate Professor or Professor, which normally entails tenure, the candidate should have produced a significant body of scholarship in her/his field and be recognized by distinguished peers nationally and, where appropriate, internationally.

### Guidelines for Promotion from Assistant to Associate Professor with Tenure

To be eligible for promotion to Associate Professor and for tenure, the candidate must have demonstrated excellence in scholarship, confirmed by senior scholars knowledgeable in the candidate's sub-field(s), as well as excellence in teaching and service.

## Scholarship

The candidate must have produced a significant body of scholarship in her/his sub-field whose quality has been established by peer review. In most sub-fields of history, this body of scholarship will be a monograph published or under board-approved contract by a top-quality press with a strong reputation in the candidate/s field. A contract based on an incomplete manuscript or contingent upon substantial revisions will not fulfill the research requirement. Certain forms of non-traditional scholarly production, including book-length electronic publication in a recognized, peer-reviewed venue, may be considered the equivalent of a published monograph. In a few sub-fields, this body of scholarship may be a collection of articles that, together, constitute a coherent oeuvre equivalent in length and quality to a monograph.

The candidate should also demonstrate on-going scholarly activity, presenting conference papers, publishing refereed articles and chapters in traditional journals and essay collections, articles and chapters in refereed electronic publications, or other traditional and nontraditional venues.

Finally, the candidate must also provide evidence that s/he has a carefully conceived, long-term research agenda and will continue to make original and significant contributions to the scholarship in the future. Scholarly accomplishment will be measured according to the guidelines set forth in Section 2.a.

#### Teaching

The candidate will demonstrate a record of high-quality and effective teaching and advising at varied levels of the curriculum, as measured according to the guidelines set forth in Section 2.b.

#### Service

The candidate will demonstrate a record of appropriate service to the university and to the historical profession as measured according to the guidelines set forth in Section 2.c., with the proviso that untenured faculty will be protected by the departmental administration from undue demands for service.

#### Guidelines for Promotion to Professor

To be eligible for promotion to Professor, the candidate must have demonstrated a sustained record of excellence in scholarship, teaching, and service.

#### Scholarship

The candidate must have produced a second substantial body of original scholarship in her/his sub-field, beyond the work completed at tenure. This work, together with the earlier work, should be regarded by senior scholars in the field as a distinguished research record that has earned the candidate a national and, where appropriate, an international reputation. This second body of scholarship can be a monograph published or under board-approved contract by a top-quality press with a strong reputation in the candidate/s field; a second group of articles that, together, constitute a coherent oeuvre equivalent in length and uniformly high quality to a monograph; a documentary or dramatic script; or certain forms of non-traditional scholarly production listed in Section 2.a.i. A contract based on an incomplete manuscript or contingent upon substantial revisions will not fulfill the research requirement.

The candidate should also have demonstrated a consistent record of scholarly activity of some substance, e.g., by presenting conference papers, publishing refereed articles and chapters in traditional journals and essay collections, articles and chapters in refereed electronic publications, or other traditional and nontraditional venues; etc. Finally, the candidate must also provide evidence that s/he continues to pursue a long-term research plan and will continue to make original and significant contributions to the scholarship in the future. Scholarly accomplishment will be measured according to the guidelines set forth in Section 2.a.

#### Teaching

The candidate will demonstrate a sustained commitment to and record of high-quality and effective teaching and advising at all levels of the curriculum, as measured according to the guidelines set forth in Section 2.b.

#### Service

The candidate will demonstrate a sustained record of diligent service to the university and to the historical profession as measured according to the guidelines set forth in Section 2.c. The candidates for promotion

to full professor are expected to contribute more to the service mission than untenured faculty, and it is expected that these contributions will extend beyond the department

#### Guidelines for Faculty Merit Review

Faculty performance at all ranks will be evaluated and rewarded on the basis of the guidelines for quality and quantity of scholarship, teaching, and service established in Section 2.

*(Approved October 4, 2004)*

## IX. Mathematics

The following guidelines are intended to aid the faculty of the Department of Mathematics in the evaluation of candidates for promotion. They are intended to be consistent with the University Administrative Regulations (AR II-1.0-1-V), which serve as the university regulations on promotion.

### Promotion to Associate Professor with Tenure

Faculty evaluation for promotion and tenure will be based upon a continuing record of substantive, original and innovative scholarship; high-quality, effective teaching and advising at multiple levels of instruction; and effective service.

### Research

The candidate must have demonstrated an original and substantive research program with wide recognition and impact on the field(s) of study. Collaborative research with colleagues or students is encouraged, but it is important to demonstrate scholarly independence. The candidate must also show evidence of a sustained, long term commitment to scholarly research and publication. Evidence of originality, contribution to the advancement of knowledge and understanding and impact on the subject will consist foremost of publications in high - quality, peer-reviewed research journals. The award of external research support obtained on a competitive basis following peer review and validated by refereed publications will be taken to be an important indicator of the standing of an individual's research. The department recognizes that financial support from other sources may also be an indicator of external recognition. However, the department also observes that differing funding opportunities exist for different sub-areas and that some quality research is not accompanied by external support. Additional measures of research quality include invited addresses and seminars at major academic, industrial and government institutions, conferences and workshops; featured reviews; awards and formal acknowledgements by peers at regional, national and international levels. Other forms of professional engagement and sustainability such as delivering conference papers; contributions to books; authorship of books; published software; electronic publications; technical reports and efforts to seek external funding are also relevant. Lastly, there are numerous indirect research efforts that contribute significantly to the research mission of the department. Therefore, the opinion of the faculty will also be considered in the evaluation of the candidate's research.

### Teaching

The successful candidate for promotion to Associate Professor will demonstrate a continuing record of high-quality and effective teaching and advising. A balanced record, commensurate with her/his assignment, of accomplished teaching at both the undergraduate and graduate level is expected. A strong and positive teaching portfolio that includes student and faculty evaluations will be a primary method used to demonstrate the required level of proficiency. Candidates for promotion and/or tenure will have student or faculty evaluations that meet or exceed departmental norms. Additional significant measures of teaching contributions include the level of extramural funding to support teaching activities, awards and formal acknowledgements by peers at regional, national and international levels. The development of new teaching technologies and useful teaching techniques, writing of textbooks, and course materials are additional measures of the overall evaluation. Lastly, there are numerous indirect teaching efforts, usually done on a voluntary basis, which contribute significantly to the educational mission of the department. Therefore, the opinion of the faculty will also be considered in the evaluation of the candidate's teaching.

### Service

Although the service responsibilities assigned to assistant professors are generally modest, it is required that all faculty members contribute conscientiously to the collective growth and development of the department, college and university. Therefore the candidate will be expected to show evidence of service to the department, university, or profession at a level commensurate with her/his assignment. Evidence of service includes advising; course coordination; professional refereeing; editorships; conference organization; contributions to department or university committees as well as to academic organizations; and representation of the department or university to the external community. In addition there are numerous non-committee service efforts, usually done on a voluntary basis, which contribute significantly to the mission of the department. Therefore, the opinion of the faculty will also be considered in the evaluation of the candidate's service.

### Tenure and Promotion to Professor

Appointment or promotion to Full Professor shall be made according to the guidelines for Associate Professor and has demonstrated excellent scholarly achievement in the following areas:

#### Research

The candidate must have realized the professional promise implicit in the award of tenure. The candidate must demonstrate that her/his academic research efforts are recognized by distinguished peers, both nationally and internationally. The record must show that the candidate has achieved an excellent research record with substantial contributions to the Department's educational mission. Evidence for originality, contribution to the advancement of knowledge and understanding and impact on the subject will consist foremost of publications in high-quality, peer-reviewed research journals. The award of external research support obtained on a competitive basis following peer review and validated by refereed publications will be taken to be an important indicator of the standing of an individual's research. The department recognizes that financial support from other sources may also be an indicator of external recognition. Here again the department observes that differing funding opportunities exist for different sub-areas and that some quality research is not accompanied by external support. Additional measures of research quality include invited addresses and seminars at major academic, industrial and government institutions, conferences and workshops; featured reviews; awards; and formal acknowledgements by peers at regional, national and international levels. Other forms of professional engagement and sustainability such as delivering conference papers; contributions to books; authorship of books; published software; electronic publications; technical reports and efforts to seek external funding are also relevant. Lastly, there are numerous indirect research efforts that contribute significantly to the research mission of the department. Therefore, the opinion of the faculty will also be considered in the evaluation of the candidate's research.

#### Teaching

The successful candidate for promotion to Professor will demonstrate a strong and continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record, commensurate with her/his assignment, of accomplished teaching at both the undergraduate and graduate level is expected. Provision of research experiences for undergraduates and production of PhD students are significant. A strong and positive teaching portfolio that includes student/and or workshop evaluations will be a primary method used to demonstrate the required level of proficiency. Candidates for promotion and or tenure will have student or faculty evaluations that meet or exceed departmental norms. Additional significant measures of teaching contributions include the level of extramural funding to support teaching activities, awards, and formal acknowledgement by peers at regional, national and international levels. The development of new teaching technologies and useful teaching techniques,

development of new courses, text books, course material, or programs at the graduate or undergraduate levels as well as advising for undergraduates and graduates are also important aspects of the overall evaluation. Lastly, there are numerous indirect teaching efforts, usually done on a voluntary basis, which contribute significantly to the educational mission of the department. Therefore, the opinion of the faculty will also be considered in the evaluation of the candidate's teaching

### Service

Candidates for promotion to full professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department. Therefore, the candidate will have made a significant contribution to the department, profession, university, state, or nation through service commensurate with her/his assignment. Evidence of service includes advising, course coordination, professional refereeing, editorships, conference organization, and contributions to department or university committees as well as to academic organizations, and representation of the department or university to the external community. In addition there are numerous non-committee service efforts, usually done on a voluntary basis, which contribute significantly to the mission of the department. Therefore, the opinion of the faculty will also be considered in the evaluation of the candidate's service.

### Professor Rank Faculty

Upon promotion to Professor, and commensurate with her/his assignment, faculty are expected to maintain the quality of teaching, research and service activity that served the basis for their promotion. They should demonstrate the highest quality teaching and advising to both undergraduate and graduate students. Professors must set a high standard of maintaining a research program that is peer reviewed and actively seek extramural funding to support their work. Finally, a major service commitment to the department, college, university, and the profession is expected.

*(Approved October 14, 2004)*

## X. MCLLC

### Guidelines for Promotion and Tenure

#### Introductory Comments

Faculty members are evaluated on the basis of their performance in teaching and advising, research, service, and, when applicable, administration, as defined by the Distribution of Effort, as well as their impact on the intellectual life of the College, the University, the Commonwealth, and the profession. To sustain the commitment to undergraduate and graduate students, to colleagues in the Department, the College, and the University, and to members of the profession and public more generally, the Department will maintain appropriate standards for assessing excellence and will assiduously mentor faculty to meet or exceed these standards. Evaluation for promotion and tenure will be based on a continuing record of high-quality and effective teaching and advising at multiple levels of instruction; substantive and original scholarship; and effective service. The Department's faculty must demonstrate leadership expertise at the local, regional, national, and international levels in a variety of areas in the discipline. Specifically, candidates for appointment at or promotion to the rank of Associate Professor must be recognized nationally and show promise of achieving national and even international distinction, while tenured candidates for promotion to the rank of Professor must demonstrate that they have already achieved national and even international prominence in their field.

#### Promotion to/Appointment at the Rank of Associate Professor (Regular Title Series)

##### Teaching

1. Successful candidates for promotion and tenure must demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and, where applicable, graduate students. Faculty members must give evidence of conscientiousness and excellence in teaching an appropriate balance of undergraduate and, where applicable, graduate courses.

##### 2. Requirements:

a. Teaching a normal load of courses within the Department and doing so in a conscientious and professional manner. This requirement includes the preparation of syllabi that adequately describe the requirements and content of the course, regular evaluation of student performance, and timely reporting of the results to the students.

b. Playing an active role in the pedagogic life of the Department and developing and teaching, over time and subject to departmental needs, a variety of courses at both the undergraduate and, where applicable, the graduate level.

c. Being regularly accessible to students and keeping an adequate number of office hours each week.

d. Preparing and maintaining a teaching portfolio, as described in AR II-1.0-5, that includes a personal statement, sample course syllabi, tabulated teaching and course evaluations, comments by students, and descriptions of courses taught.

e. Where appropriate, serving on graduate advisory committees and participating in the preparation and grading of examinations as called upon by the Department.

f. Faculty members who serve as Director of Undergraduate Studies, Director of Graduate Studies, or director of a Basic Language Program must give evidence of successful performance in advising and supervision.

## Research and Professional Activity

1. The Department is a fusion of four formerly independent units with different scholarly traditions and research emphases. Such diversity precludes establishing a single hierarchy of publishing outlets or an inflexible list of guidelines. All faculty members must give evidence of scholarly research appropriate to their discipline. Successful candidates for promotion and tenure must demonstrate substantive and original intellectual contributions to scholarship through publication and dissemination of research in appropriate venues. They must also demonstrate that they have established an independent research agenda and a long-term trajectory for their research. Candidates must show evidence of commitment to scholarly research by publishing a substantial body of scholarly work in selective and peer-reviewed print and electronic fora, either (a) a book, textbook, or critical edition and a number of articles or (b) a series of articles, book chapters, or other forms of scholarly productivity. In the case of collaborative projects, candidates must clarify the nature of their individual contributions.

2. The following examples of appropriate scholarly work enhance candidates' promotion dossiers but do not replace the requirements specified above:

- a. Presentation of scholarly papers at such venues as regional and national conferences and major academic institutions.
- b. Publication of book reviews.
- c. Submitted applications for research grants and fellowships and received grants, fellowships, or awards for significant research projects.
- d. Active engagement in professional societies and scholarly conferences, including organizing programs and participation in round tables and workshops.

## Service

1. Although the service responsibilities assigned to Assistant Professors are generally modest, it is required that all faculty members give evidence of service to the Department, and, as appropriate, the College, the University, and the profession.

2. Examples of service:

- a. Participating in committee and service assignments.
- b. Serving as an officer or committee member in professional societies.
- c. Evaluating manuscripts for scholarly publication.

## Administration

1. Faculty members with an administrative appointment (Chair or Division Director) must give evidence of creative and effective performance of their duties.

2. Assessment is based on documents provided by faculty members, students, staff, campus administrators, and, when necessary, external letters.

## Untenured Assistant Professors

Promotion to/Appointment at the Rank of Associate Professor (Special Title Series)

## Teaching

1. Successful candidates for promotion and tenure must demonstrate a continuing record of high-quality and effective teaching and advising. Faculty members must give evidence of conscientiousness and excellence in teaching a variety of undergraduate and, where appropriate, graduate courses.

2. Requirements:

a. Teaching a normal load of courses within the Department and doing so in a conscientious and professional manner. This requirement includes the preparation of syllabi that adequately describe the requirements and content of the course, regular evaluation of student performance, and timely reporting of the results to the students.

b. Playing a leading role in the pedagogic life of both the Department and the University and developing and teaching, over time and subject to departmental needs, a variety of courses at both the undergraduate and, where applicable, the graduate level.

c. Being regularly accessible to students and keeping an adequate number of office hours each week.

d. Preparing and maintaining a teaching portfolio, as described in AR II-1.0-5, that includes a personal statement, sample course syllabi, tabulated teaching and course evaluations, comments by students, and descriptions of courses taught. For promotion to the rank of Associate Professor with tenure, the portfolio must be evaluated by scholars outside the University of Kentucky.

e. Where appropriate serving on graduate advisory committees and participating in the preparation and grading of examinations as called upon by the Department.

f. Faculty members who serve as Director of Undergraduate Studies or director of a Basic Language Program must give evidence of successful performance in advising and supervision.

Research and Professional Activity

1. Faculty members must give evidence of a productive, ongoing program of scholarly research consistent with a Distribution of Effort agreement typical of Special Title Series appointees at this level. As appointment in the Special Titles Series “does not normally imply a specific responsibility to engage in research” (AR II-1.0-1.VII.E), this evidence shall be demonstrated primarily through the teaching portfolio, although some candidates may have developed other profiles as defined by the Distribution of Effort. As far as their DOE requires, successful candidates for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate venues. Candidates must also show evidence of a sustained commitment to professional development.

2. Examples of appropriate scholarly work:

a. Publication of books or textbooks, other pedagogical materials, critical editions, articles, book chapters, reviews, and other forms of scholarly productivity in recognized print and electronic fora.

b. Presentation of scholarly papers at discipline-related and pedagogical conferences and contributed talks on campus or at other academic institutions.

c. Active engagement in professional societies and scholarly conferences, including organizing programs, participating in round tables, and conducting workshops.

d. Submitted applications for research and pedagogical grants and fellowships and received grants, fellowships, or awards for significant research or pedagogical projects.

Service

1. Although the service responsibilities assigned to Assistant Professors are generally modest, it is required that all faculty members give evidence of service to the Department, and, as appropriate, the College, the University, and the profession.

## 2. Examples of service:

- a. Participating in committee and service assignments.
- b. Serving as an officer or committee member in professional societies.
- c. Evaluating manuscripts for scholarly publication.

## Administration

1. Faculty members with an administrative appointment (Chair or Division Director) must give evidence of creative and effective performance of their duties.
2. Assessment is based on documents provided by faculty members, students, staff, campus administrators, and, when necessary, external letters.

## Promotion to/Appointment at the Rank of Professor (Regular Title Series)

The successful candidate will have realized the promise implicit in the award of tenure and must be recognized by leading scholars in the field as having had significant impact on the field and as having gained a position of national distinction and even international prominence. Using the procedures and categories established above and in accordance with the Distribution of Effort, the candidate must demonstrate a continuing record of accomplishment in teaching and advising, research, service and, if applicable, administration. Candidates must demonstrate sustained teaching excellence; where appropriate, they should also demonstrate involvement in the graduate program by teaching a variety of graduate courses and chairing and/or serving on graduate committees. Candidates must also have achieved a substantial research record in the form of a book, a series of articles or other significant body of scholarly productivity since tenure was conferred and must show the promise of continuing achievement. Candidates should also have continued to serve the Department as described above and are expected to show evidence of a wider involvement in the University community and the profession.

## Promotion to/Appointment at the Rank of Professor (Special Title Series)

The successful candidate will have realized the promise implicit in the award of tenure. Faculty members must give evidence of a productive, ongoing program of scholarly research consistent with a Distribution of Effort agreement typical of Special Title Series appointees at this level. As appointment in the Special Title Series “does not normally imply a specific responsibility to engage in research” (AR II-1.0-1.VII.E), this shall be demonstrated primarily through the teaching portfolio, although some candidates may have developed other profiles as defined by the Distribution of Effort. The successful candidate for promotion to the rank to Professor must show evidence of a sustained commitment to professional development. In accordance with the Distribution of Effort and job description, the dossier compiled shall include a continuing record of high-quality teaching and advising, research, service, and, if applicable, administration. In addition, the faculty member must have developed an external reputation reflecting significant and sustained accomplishment beyond that attained at the time of award of tenure and promotion to the rank of Associate Professor. As far as the DOE requires, the candidate must also demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate venues.

*(Approved May 10, 2005)*

## XI. Philosophy

### Guidelines for Promotion and Tenure

Evaluation of faculty for promotion and tenure will be based on a continuing record of high-quality, effective, and committed teaching at multiple levels of instruction; high-quality and effective advising at the appropriate levels; substantive, creative, and innovative scholarship; and effective service.

#### Appointment/Promotion with Tenure to Associate Professor

- (1) The successful candidate will have a continuing record of high-quality, effective, and committed teaching. Although, moreover, the department both welcomes and values effective, committed advising by its untenured faculty, its advising system is such that it requires of the successful candidate, not that he or she has provided high-quality advising, but only that he or she show at least some evidence of being in the future an effective and committed advisor at both the undergraduate and graduate levels. These achievements will be demonstrated primarily through the teaching portfolio. (The teaching portfolio shall contain the items required, and may also include items suggested, in AR II-1.0-5 pertaining to the teaching portfolio.) Committed and effective teaching can also be evidenced by such matters as participation in professional philosophy teaching forums, invited or contributed talks about the teaching of philosophy, teaching-related publications, and grants to promote instructional innovation or pedagogical research.
- (2) The successful candidate will have produced substantive, creative, and original scholarship. This achievement will be primarily demonstrated by (1) external letters of assessment solicited by the unit from leading authorities in the relevant field(s) and (2) the quality and quantity of the candidate's publications (already appeared or accepted for publication). Faculty must demonstrate that they have established an independent research agenda and show evidence of a sustainable long-term commitment to scholarly research and publication. The department also expects successful candidates to have moved beyond the specific research they conducted in their Ph.D. dissertations (as evidenced by the contents of publications).

The department stresses that, in evaluating publications, it values the quality of research and not just its quantity. It is conceivable that a handful of outstanding essays, or an outstanding book alone, would suffice for tenure. A greater number of quality original essays, a quality monograph together with several essays, and a quality new scholarly translation or edition of a primary text together with several essays, are three more of the multiple types of record that would justify tenure on the grounds of research creativity and originality. Translations, edited volumes or edited special journal issues containing quality original essays, and review essays also count as valued research. A significant number of a successful candidate's publications will have been subject to a rigorous review process.

In evaluating scholarship, the department will also take into consideration the candidate's academic presentations (including the caliber of the forums involved), book reviews in journals, receipt of extramural funding, receipt of professional honors and awards, and other scholarly activities and products that can be shown to contribute to knowledge relevant to philosophy, including the authorship of textbooks. However, although all these contributions amplify a candidate's file, they do not substitute for scholarly work published by respected journals and presses.

In addition, collaborative research with colleagues and dissertation advisors is valuable. It is important, however, that the candidate be able to demonstrate that he or she has made a substantial contribution to such work.

- (3) The successful candidate will have demonstrated modest levels of quality service to the department and, if relevant, the college, university, and profession, establishing a record of effective collaboration in performance of service responsibilities. All faculty members are also expected to contribute appropriately to the collective growth and development of the department and, if appropriate, college and university. Refereeing essays, manuscripts, proposals, and applications for journals, presses, and institutions falls under service to the profession.
- (4) The successful candidate with a D.O.E. including administrative duties will have demonstrated creative and effective performance. This performance will be measured by documents provided by faculty, students, staff, or other administrators on the UK campus. If the administrative duties include off-campus activities, external letters may be solicited.

#### Appointment/Promotion with Tenure to Full Professor

The successful candidate will have both maintained the record of high-quality, effective, and committed teaching that helped secure his or her tenure and established a record of quality advising at both the undergraduate and graduate levels.

Regarding research, he or she will (1) have demonstrated significant evolution in his or her research since the time tenure was granted, (2) have produced a research record since that time that, taking into consideration the pace of publication and the number of years involved, would at least be sufficient to earn an untenured faculty person tenure in the department, and (3) be recognized—in letters of assessment written by leading scholars in his or her field(s)—as having a demonstrably significant impact on this field(s) and as occupying a position of national or international prominence. The candidate must also have research plans for the future and show evidence of a continuing sustainable commitment to scholarly research and publication.

Regarding service, candidates for promotion to full professor are expected to have continued contributing appropriately to the collective growth of the department and college or university and to have contributed more to the service mission of the department and college or university than do probationary faculty. They will also have provided high-quality departmental administration, if needed and called on.

Teaching, advising, service, and administration will be demonstrated by the sorts of material included in FMER evaluations, supplemented by whatever documents or materials the candidate believes are appropriate.

#### Research Statement

Research comprises contributions to knowledge. Contributions to knowledge can take diverse forms. The types of intellectual product bulleted below enumerate what the philosophy department counts as research.

In reviewing faculty research for official evaluation purposes, the department will consider these types of intellectual products in the following order of importance, *ceteris paribus*.

- Original monographs, original essays in journals or edited volumes, and new scholarly translations *or* editions of primary texts, all in recognized scholarly venues.
- Editorship of collections, editorship of special journal issues, translations, and review essays, all in recognized scholarly venues.
- Academic presentations.
- Journal book reviews, encyclopedia articles, textbooks, and other scholarly work.

In evaluating materials of this sort, careful attention will be paid to their quality and length as well as to the quality of the presses, journals, and forums involved in comparison to other outlets pertinent to the area of philosophy in which the material falls. In evaluating the quality of faculty research, attention will also be paid to receipt of research grants, honors, and awards and to invitations to deliver academic presentations.

In addition, collaborative research with colleagues and dissertation advisors is valuable. It is important, however, that the candidate be able to demonstrate that he or she has made a substantial contribution to such work.

Refereeing essays, books, proposals, and applications for presses, journals, and institutions counts as service to the profession and not as research.

#### Guidelines for Full Professors

Full professors are expected (1) to deliver high-quality teaching and advising at both the undergraduate and graduate levels, (2) to publish or disseminate high-quality original research, (3) to provide high-quality professional service, including outside the department, and (4) to provide high-quality departmental administration, when needed and called on.

*(Approved September 7, 2004)*

## XII. Physics and Astronomy

### Guidelines for Promotion and Tenure

Evaluation of faculty for promotion and tenure will be based on a continuing record of high-quality, effective, and committed teaching at multiple levels of instruction; high-quality and effective advising at the appropriate levels; substantive, creative, and innovative scholarship; and effective service.

### Appointment/Promotion with Tenure to Associate Professor

The successful candidate will have a continuing record of high-quality, effective, and committed teaching. Although, moreover, the department both welcomes and values effective, committed advising by its untenured faculty, its advising system is such that it requires of the successful candidate, not that he or she has provided high-quality advising, but only that he or she show at least some evidence of being in the future an effective and committed advisor at both the undergraduate and graduate levels. These achievements will be demonstrated primarily through the teaching portfolio. (The teaching portfolio shall contain the items required, and may also include items suggested, in AR II-1.0-5 pertaining to the teaching portfolio.) Committed and effective teaching can also be evidenced by such matters as participation in professional philosophy teaching forums, invited or contributed talks about the teaching of philosophy, teaching-related publications, and grants to promote instructional innovation or pedagogical research.

The successful candidate will have produced substantive, creative, and original scholarship. This achievement will be primarily demonstrated by (1) external letters of assessment solicited by the unit from leading authorities in the relevant field(s) and (2) the quality and quantity of the candidate's publications (already appeared or accepted for publication). Faculty must demonstrate that they have established an independent research agenda and show evidence of a sustainable long-term commitment to scholarly research and publication. The department also expects successful candidates to have moved beyond the specific research they conducted in their Ph.D. dissertations (as evidenced by the contents of publications).

The department stresses that, in evaluating publications, it values the quality of research and not just its quantity. It is conceivable that a handful of outstanding essays, or an outstanding book alone, would suffice for tenure. A greater number of quality original essays, a quality monograph together with several essays, and a quality new scholarly translation or edition of a primary text together with several essays, are three more of the multiple types of record that would justify tenure on the grounds of research creativity and originality. Translations, edited volumes or edited special journal issues containing quality original essays, and review essays also count as valued research. A significant number of a successful candidate's publications will have been subject to a rigorous review process.

In evaluating scholarship, the department will also take into consideration the candidate's academic presentations (including the caliber of the forums involved), book reviews in journals, receipt of extramural funding, receipt of professional honors and awards, and other scholarly activities and products that can be shown to contribute to knowledge relevant to philosophy, including the authorship of textbooks. However, although all these contributions amplify a candidate's file, they do not substitute for scholarly work published by respected journals and presses.

In addition, collaborative research with colleagues and dissertation advisors is valuable. It is important, however, that the candidate be able to demonstrate that he or she has made a substantial contribution to such work.

The successful candidate will have demonstrated modest levels of quality service to the department and, if relevant, the college, university, and profession, establishing a record of effective collaboration in performance of service responsibilities. All faculty members are also expected to contribute appropriately to the collective growth and development of the department and, if appropriate, college and university. Refereeing essays, manuscripts, proposals, and applications for journals, presses, and institutions falls under service to the profession.

The successful candidate with a D.O.E. including administrative duties will have demonstrated creative and effective performance. This performance will be measured by documents provided by faculty, students, staff, or other administrators on the UK campus. If the administrative duties include off-campus activities, external letters may be solicited.

#### Appointment/Promotion with Tenure to Full Professor

The successful candidate will have both maintained the record of high-quality, effective, and committed teaching that helped secure his or her tenure and established a record of quality advising at both the undergraduate and graduate levels.

Regarding research, he or she will (1) have demonstrated significant evolution in his or her research since the time tenure was granted, (2) have produced a research record since that time that, taking into consideration the pace of publication and the number of years involved, would at least be sufficient to earn an untenured faculty person tenure in the department, and (3) be recognized—in letters of assessment written by leading scholars in his or her field(s)—as having a demonstrably significant impact on this field(s) and as occupying a position of national or international prominence. The candidate must also have research plans for the future and show evidence of a continuing sustainable commitment to scholarly research and publication.

Regarding service, candidates for promotion to full professor are expected to have continued contributing appropriately to the collective growth of the department and college or university and to have contributed more to the service mission of the department and college or university than do probationary faculty. They will also have provided high-quality departmental administration, if needed and called on.

Teaching, advising, service, and administration will be demonstrated by the sorts of material included in FMER evaluations, supplemented by whatever documents or materials the candidate believes are appropriate.

#### Research Statement

Research comprises contributions to knowledge. Contributions to knowledge can take diverse forms. The types of intellectual product bulleted below enumerate what the philosophy department counts as research.

In reviewing faculty research for official evaluation purposes, the department will consider these types of intellectual products in the following order of importance, *ceteris paribus*.

- Original monographs, original essays in journals or edited volumes, and new scholarly translations *or* editions of primary texts, all in recognized scholarly venues.
- Editorship of collections, editorship of special journal issues, translations, and review essays, all in recognized scholarly venues.
- Academic presentations.

- Journal book reviews, encyclopedia articles, textbooks, and other scholarly work.

In evaluating materials of this sort, careful attention will be paid to their quality and length as well as to the quality of the presses, journals, and forums involved in comparison to other outlets pertinent to the area of philosophy in which the material falls. In evaluating the quality of faculty research, attention will also be paid to receipt of research grants, honors, and awards and to invitations to deliver academic presentations.

In addition, collaborative research with colleagues and dissertation advisors is valuable. It is important, however, that the candidate be able to demonstrate that he or she has made a substantial contribution to such work.

Refereeing essays, books, proposals, and applications for presses, journals, and institutions counts as service to the profession and not as research.

#### Guidelines for Full Professors

Full professors are expected (1) to deliver high-quality teaching and advising at both the undergraduate and graduate levels, (2) to publish or disseminate high-quality original research, (3) to provide high-quality professional service, including outside the department, and (4) to provide high-quality departmental administration, when needed and called on.

*(Approved September 7, 2004)*

### XIII. Political Science

#### Guidelines for Promotion to Associate Professor with Tenure

##### Introduction

Faculty evaluation for promotion and tenure will be based upon a continuing record of high-quality, effective teaching and advising at multiple levels of instruction; substantive, original and innovative scholarship, and effective service.

##### Research

The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication.

As a department that has consistently had a high level of research productivity and a nationally recognized faculty, we have high expectations. Consequently, the department guidelines require rigorous research accomplishments. This section provides the framework within which individual faculty exercise their independent judgment.

##### General Dimensions of Research Productivity

1. Candidates are encouraged to publish one or more articles or a book based on their dissertation research, or an expansion of this research. Candidates should also publish articles or a book based upon research that clearly goes beyond the dissertation (although some of it might be in the same general substantive area as the dissertation).
2. Candidates should publish two or three articles in first tier journals in the absence of a book. Such journals will vary by subfield. Assistant professors should consult with more senior members of their subfield about journal quality. If a book is published, it is desirable to have it with a first tier university press. An article published in *PS* in June 1999 is suggestive of how political scientists rank book publishers.
3. Books or articles of candidates submitted or published when they were graduate students will be counted in the promotion and tenure consideration, but no candidate will be promoted whose work was done primarily while a graduate student.
4. The department expects candidates to be active professionally. This is indicated by delivery of papers or other types of participation at professional meetings, reviewing manuscripts for journals, and service on editorial boards or program committees.
5. Sizeable research grants from NSF, other governmental agencies, or major foundations bring prestige to the department and often funds to employ RAs. The department is very supportive of such grant applications. However, assistant professors need to weight the probability of successful grant applications versus having tangible publications in time for tenure review.

##### Assessing Research Productivity

1. The number of publications necessary to support a positive recommendation will vary depending upon the quality of the work, which will be assessed through the reports of outside referees and other measures of intellectual merit. We normally expect a successful candidate for promotion to associate professor with tenure to have six to eight articles published or accepted in refereed journals with at least two or three in first tier journals. A book with a first tier press is normally considered to be equivalent to half of the productivity needed in a tenure case. A successful application for a prestigious external grant (e.g. NSF) will enhance the candidate's case for promotion.
2. Collaboration with others is valuable to doing quality research in many subfields in Political Science. However, there must be evidence that candidates are capable of conducting a quality independent research program. This generally should consist of two or three sole authored journal articles in first or second tier journals or a sole authored book.
3. Coauthored work, whether articles or books, will be evaluated based on the quality of the venue in which it is published and the contribution of the candidate. Interdisciplinary collaboration is encouraged by the University and Department and assistant professors will be rewarded for their collaborative efforts.
4. Contributions to edited books will be evaluated based upon the assessment of their quality, but generally will not be counted as highly as articles in first or second tier journals. If candidates serve as editors or coeditors of such a book, this will add to the weight given his or her contribution.

### Teaching

The successful candidate for promotion will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A record of accomplished teaching at both the undergraduate and graduate level is expected.

In addition, authorship of a textbook will be considered a contribution to the teaching mission and to the profession.

### Service

Although the service responsibilities assigned to assistant professors are generally modest, it is expected that all faculty members contribute conscientiously to the collective growth and development of the department, college and University.

### Guidelines for Promotion to Full Professor

#### Research

The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues.

Successful candidates for promotion to full professor should present an excellent post-tenure research record, indicating a national or international scholarly reputation in his/her chosen specialty. This research normally should consist of high-quality book publications and/or refereed journal articles in top tier or

other appropriate outlets. It may also include (a) contributions to major research projects culminating in edited books when the scholar has been selected because of his or her expertise and reputation and (b) attracting grants or fellowships. It is expected that the faculty member will be lead author or equal collaborator in the bulk of the publications presented. Candidates for full professor are also expected to have applied for external grants or fellowships.

### Teaching

Successful candidates will present evidence of a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both the undergraduate and graduate level is expected, indicated by both strong teaching ratings and continuing development in the classroom as a teacher (e.g., teaching new courses, utilizing new technologies, and keeping current with pedagogical developments). Successful candidates will also have made significant contributions to the graduate student mission of the Department, serving as PhD advisor and on student advisory committees, and working with students on research and publications

### Service

The candidates for promotion to full professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department. These may include such activities as holding an important departmental leadership position, serving on important university committees, and helping to conduct the business of the profession, by serving in editorial capacities, and/or officer positions in professional associations.

### Continuing Standards for Tenured Professors

1. Tenured professors should continue to present an excellent research record. This research normally should consist of a mixture of high-quality book publications and/or refereed journal articles in top tier or other appropriate outlets. It may also include contributions to major research projects culminating in edited books when the scholar has been selected because of his or her expertise and reputation. They are expected to apply for external grants or fellowships.
2. Tenured professors should present evidence of a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both the undergraduate and graduate level is expected, indicated by both a record receiving strong teaching ratings and continuing development in the classroom as a teacher (e.g., teaching new courses, utilizing new technologies, and keeping current with pedagogical developments). Successful candidates will also have made significant contributions to the graduate student mission of the Department, serving as PhD advisor and on student advisory committees, and working with students on research and publications.
3. Tenured professors should show leadership in professional and service activities, in the Political Science profession, in the University of Kentucky campus, and at the departmental level. These may include such activities as holding an important departmental leadership position, serving on important university committees, and helping to conduct the business of the profession, by serving in editorial capacities, manuscript reviews, and/or officer positions in professional associations.
4. Tenured professors are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department. These may include such activities as holding an important departmental leadership position, serving on

important university committees, and helping to conduct the business of the profession, by serving in editorial capacities, and/or officer positions in professional associations.

*(Approved December 13, 2004)*

## XIV. Psychology

### Guidelines for Tenure and Promotion of Faculty

#### Regular Title Series Faculty

Evaluation of faculty for promotion and tenure will be based upon a record of productive and innovative scholarship; a continuing record of high-quality, effective teaching and mentoring at multiple levels of instruction; and committed service to the betterment of the academic, professional and public communities.

#### Tenure and Promotion to Associate Professor

Research - The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication. With respect to evaluation of research, there are several potential sources of evidence of research excellence. The profile of indicators is not expected to be identical across candidates; candidates are expected to include whatever information is available and relevant to their evaluation.

Some indicators of research excellence will be common to all successful candidates. Specifically, it is expected that every successful candidate will have:

- Several first-authored, empirical articles in top-tier journals or senior/corresponding authorship on empirical articles where a graduate student or post-doctoral fellow is first author.
- A record of sustained research productivity (i.e., multiple products in most of the probationary years).
- Letters of strong support from prominent researchers in the candidate's field.

Other indicators of research excellence will vary across successful candidates. These include:

- A record of extramural funding.
- Any indicators of impact on the field, including: citation indices, invited presentations or chapters, recognition of accomplishments in publications (e.g., cited in an article as one of top new researchers in the field).
- Awards for research excellence.
- Participation in research review process, including: grant review panels, regular involvement in manuscript review for top-tier journals (e.g., editor, associate editor, editorial board).
- Successful mentoring of students with respect to student research accomplishments, such as student authorships, competitive fellowship awards, and other research awards.
- Evidence of sustained scholarly and/or creative activity through editing books and special journal issues, and writing textbooks. In addition to publications, other forms of professional engagement such as delivering conference papers and refereeing professional publications are also relevant.

Some issues concerning the research record merit further elaboration. First, the issue of establishing a record of independent research deserves additional comment. Although collaborative research with colleagues is encouraged, it is also important that the candidate demonstrate scholarly independence and

leadership through multiple lead or single authorships. A special case of collaboration is the relatively common instance of collaboration with one's graduate school mentor. It is particularly important that the candidate develop a research identity that is clearly separable from that of his or her mentor. In the event that a candidate continues to collaborate extensively with the graduate school mentor, it is critical that the candidate establish leadership (via multiple first-authorships) of a line of research that can be clearly distinguished in topic from the mentor's research program.

A second issue is the importance of obtaining extramural funding. Extramural funding is highly desirable and encouraged, regardless of the area of research. It is recognized that extramural funding is more available in some areas (e.g., substance abuse) than in others. Further, extramural funding is necessary for the support of research in some domains (e.g., research with animals), but not others. Ultimately, a candidate must produce refereed publications in order to be tenured and promoted. Thus, if a research program requires funding, it is expected that the candidate will demonstrate a record of extramural support. If a research program does not require funding, a record of extramural support will be highly valued but will not be considered a requirement for tenure and promotion. In no case will research in the form of grant reports to granting agencies or other forms of non-refereed publication substitute for publications in high-quality, peer-reviewed journals.

Teaching - The successful candidate for promotion to Associate Professor with tenure will demonstrate a consistent record of effective, committed, high-quality teaching and mentoring at both the undergraduate and graduate level. A balanced record of accomplished teaching at both the undergraduate and graduate level is expected. With respect to evaluation of teaching and mentoring, there are several potential sources of evidence of teaching and mentoring excellence. The profile of indicators is not expected to be identical across candidates; candidates are expected to include whatever information is available and relevant to their evaluation.

Effective and committed teaching of undergraduate students may be assessed by a variety of means, including some combination of the sources of information listed below.

- Quantitative ratings by students of course quality and teaching effectiveness
- Letters from students
- Letters from teaching assistants
- Letters from peers who have observed the candidate's teaching and/or the impact of the candidate's teaching on student performance
- Awards for teaching accomplishments
- Participation in opportunities to improve teaching (e.g., workshops, conferences on teaching)
- Scholarship on teaching (e.g., articles, chapters or books related to teaching)

Effective and committed mentoring of undergraduate students may be assessed by a variety of means, including:

- Letters from students
- Sponsorship of students in independent research projects (e.g., PSY 395 & 495) and experiential education (e.g., PSY 399 & 499)
- Accomplishments of mentored students, such as research products (e.g., student authorships, student participation in conferences)
- Awards to mentored students

Effective and committed teaching of graduate students may be assessed by a variety of means, including:

- Quantitative ratings by students of course quality
- Letters from students
- Letters from peers who have observed the candidate's teaching and/or the impact of the candidate's teaching on student performance
- Awards for teaching accomplishments

Effective and committed mentoring of graduate students may be assessed by a variety of means, including:

- Letters from students
- Successful and timely progress of students in the program (*i.e.*, completion of Master's degree, completion of qualifying exams, completion of Doctoral degree)
- Accomplishments of mentored students, such as research products (*e.g.*, student authorships, student participation in conferences)
- Awards, fellowships and grants to mentored students

Service - Although the service responsibilities assigned to assistant professors are generally modest, it is required that all faculty members contribute conscientiously to the collective growth and development of the department, college and University. There are many ways to make service contributions, including:

- Regular attendance at faculty meetings
- Conscientious service on assigned departmental committees
- Participation in community organizations related to professional expertise
- Participation college and university committees
- Participation in regional and national professional organizations

Untenured faculty are advised that they should not agree to departmental, college or university service commitments that might interfere substantially with their research mission. Similarly, junior faculty may occasionally have opportunities to serve the public or professional community, but they should undertake such responsibilities only if they do not interfere substantially with their research mission.

#### Promotion to Professor

There are important distinctions to be made in comparing the process of evaluating a faculty member for promotion to the rank of professor vs. evaluating a faculty member for promotion to associate professor. The list of indicators of the research, teaching and service missions is substantially the same; however, the weighting of indicators changes in important ways. Promotion to professor requires that faculty have realized the professional promise implicit in the award of tenure. They must be recognized by distinguished peers nationally and internationally as having achieved an excellent research record. They must excel at graduate and undergraduate teaching. And they must maintain an appropriate level of service to the department, college, university and the larger community, as well as to the profession.

Research - The successful candidate for promotion to professor must demonstrate a continued long-term commitment to research. This is indicated by continued publication in high-quality, peer-reviewed venues. However, in contrast to the guidelines for promotion to associate professor, the candidate for promotion to professor is expected to demonstrate a more mature record of scholarly accomplishment. Evidence of continued productivity as a researcher is necessary, but not sufficient for promotion to professor. Rather, the candidate's research accomplishments must achieve national or international recognition. Letters from respected scholars in the field are important sources of information about a candidate's research prominence. In addition, it is expected that there will be other indicators of the

candidate's maturity as a researcher. Common indicators include: service on grant review panels; editorial service to top-tier journals; book editing/textbook authorship; awards for research accomplishments; indicators of impact on the field (e.g., citation indices, explicit reference to prominence by other researchers); extramural funding; invitations to speak at conferences and other research institutions.

Teaching - The successful candidate for promotion to professor will continue to be an effective and dedicated classroom instructor at multiple levels on instruction. In addition, the candidate will demonstrate effectiveness as a mentor of graduate students beyond what can be expected of a junior faculty member. A mature faculty member is expected to consistently attract graduate students and successfully shepherd them through the doctoral program. In addition, the research, teaching, and career accomplishments of students is important evidence of the mentor's effectiveness. Common indicators of student accomplishments include: research productivity; grants and fellowships; awards for teaching, research or service accomplishments; successful placement of the student upon completion of degree.

Service - The candidates for promotion to full professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department. Thus, more experienced faculty members are more likely to participate in College and University committees, and more likely to take a leadership role. Within the Department, experienced faculty are expected to take leadership roles on committees.

### Special Title Series Faculty

#### Promotion to Professor

The successful candidate for promotion to professor in the Special Title Series must achieve recognition for contributions to undergraduate education. It is expected that the candidate will have maintained a consistent record of excellence in undergraduate teaching and advising. Indicators of such excellence include:

- High quantitative ratings by students of course quality and teaching effectiveness
- Demonstrated teaching competence in a variety of course preparations
- Letters from people who have experienced or observed teaching (e.g., students, teaching assistants, peers who have observed the candidate's teaching and/or the impact of the candidate's teaching on student performance)
- Awards for teaching accomplishments
- Sponsorship of students in independent research projects (e.g., PSY 395 & 495) and experiential education (e.g., PSY 399 & 499)
- Accomplishments of mentored students, such as research products (e.g., student authorships, student participation in conferences)
- Awards to mentored students
- Participation in opportunities to improve teaching (e.g., workshops, conferences on teaching)
- Competence in service positions, such as DUS or Psi Chi Coordinator

However, it is important to stress that the record of the successful candidate must go beyond demonstrated excellence in course instruction and advising. It involves leadership in undergraduate education that has a documented, positive impact on undergraduate education. There is no single route to this goal and, thus, no single profile of indicators that the goal has been achieved. We outline two different models, either of which would be an appropriate basis for evaluating promotion to professor. One possible model would be to achieve national or international recognition for teaching expertise via

publication of scholarly books and articles on undergraduate education or to achieve national or international recognition for publication of discipline related books or articles. The indicators of success via this route would be analogous to those specified for evaluating research success in the Regular Title Series (e.g., validation by prominent scholars of leadership in education; awards for teaching accomplishments; a record of consistent, high quality publications on educational issues). A second possible model would be to establish a record of innovative, programmatic reforms at either the campus or departmental level, where such reforms have a demonstrable, positive influence on the undergraduate education of Psychology majors, specifically, or UK students, more generally (e.g., authorship of textbooks, development of a novel method of instructional delivery, such as on-line or distance-learning).

*(Approved September 30, 2004)*

## XV. Sociology

### Introduction

Evaluation of faculty for promotion and tenure will be based upon a continuing record of effective and committed teaching and advising at multiple levels of instruction; substantive, original, and innovative scholarship that is seen by other scholars as making a contribution to one's area of interest; and effective service that contributes positively to the department, the College, the University, the profession, or the larger community. Within this broad framework, guidelines specific to Regular Title Series and Special Title Series faculty members are described in the following sections.

### Guidelines for Regular Title Series Faculty

#### Tenure and Promotion to Associate Professor

**Instruction** - The successful candidate for promotion to Associate Professor with tenure will demonstrate a continuing record of high-quality and effective teaching and advising of undergraduate and graduate students. A balanced record of accomplished teaching at both the undergraduate and graduate level is expected, though it is understood that the proportion of undergraduate and graduate instruction may legitimately vary based on the needs of the department and its students. Formal and informal advising for undergraduate and graduate students is an important aspect of instruction and will be evaluated as appropriate. Contributions to graduate education through service on graduate students' advisory committees are valued, but it is recognized that Associate Members of the Graduate Faculty have limited opportunities to serve as the primary mentor for graduate students.

Teaching assessment will include a review of the candidate's quantitative and qualitative teaching evaluations conducted each semester and an evaluation of a teaching portfolio that has been prepared according to University of Kentucky guidelines. The teaching portfolio should include evidence that the instructor is providing students with up-to-date, challenging, and pedagogically sound material, that teaching responsibilities are being taken seriously, and that improvements are being sought. Candidates for promotion should strive to achieve evaluations, be they quantitative or qualitative, that meet or exceed those recorded for the department and college at large. It is expected that a successful instructor's student evaluations will generate some thoughtful (even if critical) written student comments. It is recognized that some pedagogical experiments will fail and that some specific groups of students will be nonresponsive. Thus, a single course with disappointing results will not detract from a generally solid record of success as an instructor.

**Research** - The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication or dissemination of research in appropriate peer-reviewed venues. Faculty must demonstrate that they have established an independent research agenda and a long-term trajectory for their research. The candidate must show evidence of a sustained, long-term commitment to scholarly research and publication.

Scholarly accomplishment will be measured by work published and may be enhanced by extramural funding. Scholarly journal essays, book chapters, and book manuscripts should be placed in the highest quality peer-reviewed outlets appropriate to one's area of specialization. Publications should appear in journals and presses generally regarded by colleagues in one's area of research as top tier outlets as reflected in their selectivity, influence, and reputation for publishing innovative scholarship. If research is communicated through nontraditional means (e.g., exhibits, web-based publications), similar expectations involving high quality and peer review will apply. While collaborative research with colleagues or

students is encouraged, it is also important that one demonstrate scholarly independence and leadership through lead or single authorship. Publishing with one's dissertation advisor is commendable and can contribute positively to a case for promotion, but faculty must also demonstrate that they have established an independent and original research agenda and have conceived a short, intermediate, and long-term trajectory for their research themes and projects. Evaluation by external reviewers will provide an important indication of how a faculty member's work is being received outside the University of Kentucky.

Additional measures of research quality may include awards and other formal acknowledgements by peers at regional, national, and international levels, and extramural research funding. While all extramural funding is valued, it will contribute most convincingly to cases for promotion when it can be seen to be leading to scholarly, peer-reviewed publications. It is recognized that opportunities for awards and extramural funding may vary between areas of specialization.

Service - The efficient and productive functioning of the department, college, university, and one's disciplinary organization is the net product of collaborative effort by all unit members. Although the service responsibilities assigned to Assistant Professors are generally a more modest proportion of their Distribution of Effort (DOE) than for tenured faculty, it is nevertheless important that all faculty contribute conscientiously to the collective growth and development of the academic milieu of their colleagues and students. Therefore, active and effective service on departmental, college, and university committees as well as to academic or public organizations is encouraged and will be considered a meaningful aspect of one's overall record.

#### Promotion to Professor

Promotion to Professor requires that faculty have realized the professional promise implicit in the award of tenure. They must be recognized by distinguished peers nationally and internationally as having achieved an eminent research record. They must excel at graduate and undergraduate teaching and advising while maintaining an appropriate level of service to the department, college, university, the larger community, as well as their discipline.

Instruction - Guidelines for effective instruction discussed in the preceding section continue to apply at this level. It continues to be important for instructors to teach an array of undergraduate and graduate-level courses and to do so effectively. As faculty members become more mature scholars, their teaching should include some courses and seminars that expose students to their areas of research. While not required for all faculty members, effective contributions to instruction in multidisciplinary programs will be considered a positive aspect of an overall instructional record. Advising should continue to occur at all levels, but leadership of graduate students and advanced undergraduates in their research activities should become a growing area of professional involvement. Candidates for promotion to Professor should be able to document that they have established meaningful mentoring relationships with graduate students. Most successful candidates will have advised graduate students to the successful completion of their degrees.

Research - Successful candidates for promotion to Professor will have a record of sustained scholarly productivity that includes peer-reviewed work published in highly respected outlets and that has led to their recognition by peers nationally and/or internationally as eminent researchers who are making notable contributions to their area of interest. In general, a combination of independent and collaborative research will be considered desirable, but it is recognized that patterns of authorship and co-authorship vary between research projects and areas of specialization. Mature and engaged scholars may publish in a variety of outlets, including some read by educated general audiences and some emerging as communications technology advances, but significant numbers of their publications should appear in

prominent peer-reviewed outlets (journals and/or presses) that are known for their selectivity, influence, and reputation for publishing innovative scholarship. The quality and impact of a senior scholar's research program will be measured in part by successful placement of publications in respected journals and presses, success in securing extramural funding, citations and other evidence that one's work is having an impact, positive and thoughtful letters from prominent external reviewers, awards, and invitations to serve on proposal review panels, editorial boards, etc. Selection as the Editor of a scholarly journal also will be viewed as evidence of professional stature. It is recognized that opportunities for awards and extramural funding may vary between areas of specialization. Activities such as editing books and special journal issues, writing textbooks, and writing non-refereed reports also provide evidence of sustained scholarly activity, but they do not substitute for scholarly work published by respected journals and presses.

Service - Effective service at various levels is both a sign of continuing professional engagement and an opportunity to apply one's scholarly insights. Candidates for promotion to Professor are expected to contribute more to the service mission than probationary faculty, and it is expected that these contributions will extend beyond the department. In most cases, they will have accepted responsibility for a meaningful aspect of departmental governance or policy development. Many candidates for promotion to Professor will have been invited to serve on important committees at the College and University level as well as national academic organizations. Regardless of one's particular combination of service activities, evidence that service commitments have been fulfilled conscientiously will be viewed as a positive aspect of a professional profile. The quality and impact of the service record of a candidate for promotion to Professor will be measured in part by positive and thoughtful letters from chairs of committees on which the faculty member has served, invitations to chair key committees, appointment to key committees within academic or public organizations, and nomination or election to offices in academic organizations.

#### Ongoing Expectations for Faculty at the Rank of Professor

Faculty members at the rank of Professor should continue to provide evidence of professional excellence in all areas of activity. They must continue to pursue research that contributes significantly to the scholarly literature, and they must excel at graduate and undergraduate teaching and advising while maintaining an appropriate level of service to the department, college, university, the larger community, as well as their discipline.

Instruction - Professors should continue to teach an array of undergraduate and graduate-level courses and to do so effectively. As faculty members become more mature scholars, their teaching should include some courses and seminars that expose students to their areas of research. While not required for all faculty members, effective contributions to instruction in multidisciplinary programs will be considered a positive aspect of an overall instructional record. Advising should continue to occur at all levels, but leadership of graduate students and advanced undergraduates in their research activities should become a growing area of professional involvement. Most Professors should be actively involved in advising graduate students to the successful completion of their degrees.

Research - Professors should continue to develop their records of sustained scholarly productivity centered around peer-reviewed work published in highly respected outlets. In general, a combination of independent and collaborative research will be considered desirable, but it is recognized that patterns of authorship and co-authorship vary between research projects and areas of specialization. Mature and engaged scholars may publish in a variety of outlets, including some read by educated general audiences and some emerging as communications technology advances, but significant numbers of their publications should appear in prominent peer-reviewed outlets (journals and/or presses) that are known for their selectivity, influence, and reputation for publishing innovative scholarship. The quality and

impact of a senior scholar's research program will be measured in part by successful placement of publications in respected journals and presses, success in securing extramural funding, citations and other evidence that one's work is having an impact, awards, and invitations to serve on proposal review panels, editorial boards, etc. Selection as the Editor of a scholarly journal also will be viewed as evidence of professional stature. It is recognized that opportunities for awards and extramural funding may vary between areas of specialization. Activities such as editing books and special journal issues, writing textbooks, and writing non-refereed reports also provide evidence of sustained scholarly activity, but they do not substitute for scholarly work published by respected journals and presses.

Service - Effective service at various levels is both a sign of continuing professional engagement and an opportunity to apply one's scholarly insights. Professors should make important contributions to the service mission both inside and outside the department. In most cases, they will have accepted responsibility for a meaningful aspect of departmental governance or policy development. Most Professors will have been invited to serve on important committees at the College and University level as well as national academic organizations. Regardless of one's particular combination of service activities, evidence that service commitments have been fulfilled conscientiously will be viewed as a positive aspect of a professional profile. The quality and impact of the service record of a Professor will be measured in part by invitations to chair key committees, appointment to key committees within academic or public organizations, and nomination or election to offices in academic organizations.

#### Guidelines for Special Title Series Faculty

##### Tenure and Promotion to Associate Professor

For faculty members in the Special Title Series, the guidelines for promotion and tenure shall be evidence of excellence and of continuing potential for excellence in all assigned areas of responsibility. The relative weight to be assigned to any given area will be determined by the Distribution of Effort (DOE) forms in effect during the faculty member's period in the department.

Special Teaching/Advising Assignments. To attain tenure, a candidate assigned primarily to teach and to advise undergraduate students should demonstrate a record of excellence in teaching and pedagogical innovation. Course materials, student evaluations, and all other available evidence should indicate that the faculty member teaches well-designed courses that are challenging and engaging to students. Course materials must reflect current scholarship in the candidate's field. The candidate is expected to be an active and influential participant in departmental and College programs to enhance undergraduate education. Advising must be based on a thorough knowledge of departmental, College, and University requirements. Evidence that advising is delivered in a positive and professional manner will be expected.

Research and professional development of the successful candidate shall be evaluated according to evidence of continuing intellectual engagement with her/his discipline or area of teaching responsibilities. Faculty members whose DOE includes a research component must demonstrate that they are producing scholarly work that is acceptable under normal standards of peer review, but it is understood that a Special Title Series faculty member whose appointment emphasizes teaching and advising cannot produce publications or initiate new research at the same rate as that required of Regular Title Series faculty.

Special Service Assignments. A candidate assigned to direct a unit or program must demonstrate a record of excellence in fulfilling service responsibilities. Evidence will vary according to specific service responsibilities, but it will most likely include documented development of service goals, identification of indicators to assess goal achievement, implementation of systematic assessment, and positive evaluations from stakeholders with whom the candidate has ongoing interactions.

## Promotion to the Rank of Professor

The promotion to the rank of Professor for an STS Associate Professor requires that the successful candidate has continued the professional performance signified by the award of tenure in the person's areas of assignment according to her/his DOE. Candidates must be recognized by distinguished colleagues nationally and/or internationally as having achieved a suitably distinguished record of research, teaching, and service as appropriate to their DOE. They must excel at undergraduate and graduate teaching per the assigned level of DOE responsibility. In addition, they must maintain appropriate levels of service to the discipline, the department, the college, the university, and the community-at-large.

**Special Teaching/Advising Appointments.** For candidates with substantial teaching and advising responsibilities, the dossier will include evidence of excellence in teaching and pedagogical innovation which, in the opinions of those appropriate persons within and external to the University from whom judgments are solicited, achieves or would warrant national recognition. Evidence should show that the individual has maintained course materials and content that are current with the scholarship in his or her field. Such evidence should show that the candidate has incorporated new scholarship and teaching methods in his or her courses. The candidate is expected to be an active and influential participant in departmental, college, and university programs to enhance undergraduate or graduate education. Advising must be based on a thorough knowledge of departmental, college, and university requirements. Evidence that advising is delivered in a positive and professional manner will be expected.

Research and professional development of the successful candidate shall be evaluated according to evidence of continuing intellectual engagement with her/his discipline or area of teaching responsibilities. Faculty members whose DOE includes a research component must demonstrate that they are producing scholarly work that is acceptable under normal standards of peer review, but it is understood that a Special Title Series faculty member whose appointment emphasizes teaching and advising cannot produce publications or initiate new research at the same rate as that required of Regular Title Series faculty.

**Special Service Assignments.** A candidate assigned to direct a unit or program must demonstrate a record of excellence in fulfilling the relevant service responsibilities. Evidence will vary according to specific service responsibilities, but it will most likely include documented development and ongoing review of service goals, identification of indicators to assess goal achievement, implementation of systematic assessment, evidence that assessment has been used to improve the program, and positive evaluations from stakeholders with whom the candidate has ongoing interactions.

## Ongoing Expectations for Faculty at the Rank of Professor

STS faculty members at the rank of Professor should continue to provide evidence of professional excellence in all areas of activity specified by the DOE. The suitably distinguished record of research, teaching, and service that was the basis for promotion to Professor must be sustained, as appropriate to the DOE. STS Professors must excel at undergraduate and graduate teaching per the assigned level of DOE responsibility. In addition, they must maintain appropriate levels of service to the discipline, the department, the college, the university, and the community-at-large.

**Special Teaching/Advising Appointments.** STS Professors must maintain excellence in teaching and advising. Course materials and content must reflect current scholarship in the faculty member's field. The faculty member is expected to be an active and influential participant in departmental, college, and university programs to enhance undergraduate or graduate education. Advising must be based on a

thorough knowledge of departmental, college, and university requirements. Evidence that advising is delivered in a positive and professional manner will be expected.

Research and professional development of the successful candidate shall be evaluated according to evidence of continuing intellectual engagement with her/his discipline or area of teaching responsibilities. Faculty members whose DOE includes a research component must demonstrate that they are producing scholarly work that is acceptable under normal standards of peer review, but it is understood that a Special Title Series faculty member whose appointment emphasizes teaching and advising cannot produce publications or initiate new research at the same rate as that required of Regular Title Series faculty.

Special Service Assignments. A candidate assigned to direct a unit or program must demonstrate a record of excellence in fulfilling the relevant service responsibilities. Evidence will vary according to specific service responsibilities, but it will most likely include documented development and ongoing review of service goals, identification of indicators to assess goal achievement, implementation of systematic assessment, evidence that assessment has been used to improve the program, and positive evaluations from stakeholders with whom the candidate has ongoing interactions.

*(Approved June 28, 2005)*

## XVI. Statistics

### Regular Title Series Faculty

The faculty of the Department of Statistics is committed to providing excellence in teaching, research, and service. To sustain this commitment to undergraduate and graduate students; departmental, college and university colleagues; as well as members of the profession and public, the department will maintain appropriate standards for assessing excellence and will mentor and monitor faculty to insure that these standards are being met. Faculty evaluation for promotion and tenure will be based upon a continuing record of effective and committed teaching; substantive, original, and innovative scholarship; and effective service. All faculty members are expected to maintain these standards of excellence throughout their employment at the University of Kentucky.

### Guidelines

#### Tenure and Promotion to Associate Professor

**Teaching** - The successful candidate for promotion to Associate Professor with tenure will demonstrate a continuing record of high-quality and effective teaching and a potential for advising doctoral students. A balanced teaching responsibility at the graduate level as well as undergraduate instruction is required unless otherwise specified in the terms of the appointment. It is desirable to demonstrate teaching expertise in both the small classroom setting and large lectures. Formal and informal advising for graduate students is an important aspect of teaching and is highly desirable. Teaching assessment will include a review of the candidate's quantitative and qualitative teaching evaluations conducted each semester and other student ratings and comments, and an evaluation of a teaching portfolio. A portfolio should contain a teaching philosophy statement, course syllabi and materials, letters from current and former students, departmental-, college-, or university-level teaching awards, and other materials that may attest to the candidate's teaching effectiveness. While several measures of teaching effectiveness tend to be qualitative, candidates for promotion should strive to achieve student evaluations that meet or exceed standards of teaching excellence that are recorded for the department and college at large.

**Research** - The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication of research in appropriate venues. The candidate must also provide evidence of a long-term commitment to scholarly research and publication. Scholarly accomplishment will be measured by work published and, where appropriate, external funding. Scholarly journal papers, book chapters, and book manuscripts should be placed in the high quality peer-reviewed outlets, those journals and presses generally regarded by colleagues in one's sub-discipline as the top tier publications as reflected in their selectivity, influence, and reputation for publishing innovative scholarship. While collaborative research with colleagues or students is encouraged, it is also important that one demonstrate scholarly independence and leadership. Publishing with one's dissertation advisor is commendable but faculty must also demonstrate that they have established an independent and original research agenda and have conceived a short, intermediate, and long-term trajectory for their research program. Multi-disciplinary research and publication is encouraged, but such work should include, either within that publication or perhaps in a separate one, substantive contributions to our discipline. Generally, research work whose only publication outlet is in non-refereed proceedings and volumes is of little value in a promotion dossier. Evaluation by external reviewers is required for the promotion dossier. Additional measures of research quality may include, where appropriate, awards and other formal acknowledgements by peers at regional, national, and international levels, and external research funding. As with publication outlets, grants from agencies that comply with rigorous peer-reviewed application procedures are generally the best funding indicators of

high quality research programs and proposals. However, innovative approaches to establishing funding are encouraged provided such funding is competitively offered in recognition of discernable academic scholarship.

Service - The efficient and productive functioning of the department, college, university, and one's disciplinary organization is the net product of collaborative effort by all unit members. Although the service responsibilities assigned to Assistant Professors are generally a more modest proportion of their Distribution of Effort (DOE) than for tenured faculty, it is nevertheless important that all faculty contribute conscientiously to the collective growth and development of the academic milieu of their colleagues and students. Therefore, active and contributive service on departmental, college, and university committees as well as to academic organizations is encouraged and is considered demonstrative of one's contribution to the academic commonwealth.

### Promotion to Professor

Promotion to Professor requires that faculty have realized the professional promise implicit in the award of tenure. They must be recognized by distinguished peers nationally and internationally as having achieved a renowned research record in their chosen sub-discipline. They must maintain the standards of productivity and excellence in research which is expected for promotion and tenure. Furthermore the prospects of future contributions will be considered. They must maintain the standards of excellence in graduate and undergraduate teaching or graduate service teaching which is expected for promotion and tenure. They are expected to direct doctoral dissertations and to provide support for graduate students, as appropriate. Where appropriate, they are expected to contribute to curriculum development, innovative approaches to existing courses, and/or educational outreach. Published introductory textbooks are considered to be contributions to educational outreach and service to the professional community. A record of recent external funding is expected. They are expected to contribute significantly to the functioning of the department and provide a high level of service to the college, university, the larger community, as well as their discipline.

### Guidelines for Full Professors

Full professors are expected to maintain the standards of productivity and excellence in teaching, research, and service required for promotion to the rank of professor. They are expected to mentor and support faculty development at all ranks. Continued external funding is expected. They are expected to continue to contribute significantly to the functioning of the department, college and university and to provide leadership and support for faculty and students alike. They are expected to promote the reputation of the department not only in the University, but also in the national and international statistical community.

### Joint Appointments

Joint appointments are an integral part of the Department of Statistics. Faculty on such appointments are expected to follow the guidelines stated above for their respective rank. However, faculty on such appointments have obligations in the partner departments which may not strictly follow the guidelines stated above. Hence, expectations are to be scaled in proportion to the percent effort paid by the Department of Statistics when it is time to evaluate faculty for promotion and tenure.

*(Approved September 23, 2004)*