**Department of Earth and Environmental Sciences**

**College of Arts and Sciences**

**University of Kentucky**

**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 Earth and environmental sciences. To sustain this commitment to the students and faculty of the Department, College, and University, the 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 level courses 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 four 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 Earth and environmental 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, and the profession.

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 Earth and environmental sciences pedagogy. Other areas for possible evaluation may include publication of scientific 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 scientific 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 Earth and environmental sciences 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.

Lecturers

Appointment at the Rank of Lecturer:

The appointee will have received a PhD, or in an exceptional case a MS accompanied with a minimum of 3 years professional experience, and show promise of being an excellent teacher as evidenced by previous teaching experience, UK classroom presentations, or any teaching statement submitted as part of the application process.

Appointment at the Rank of Senior Lecturer:

The appointee will have received a PhD at least five years prior to appointment and taught equivalent of full time college/university teaching for at least five years with an excellent teaching record. In addition, the appointee will have a record of excellence in the performance of any assigned nonteaching responsibilities.

Promotion from Lecturer to Senior Lecturers:

Lecturers can be promoted to Senior Lecturers when they have taught minimum of five years at UK as lecturers with an excellent teaching record. In addition, the candidates will have a record of excellence in the performance of any assigned nonteaching service, administrative, or professional development responsibilities (e.g., organizing teaching workshops and/or departmental seminars, serving on departmental committees and graduate student committees, presenting/attending professional conferences, etc).

Reappointment:

The lecturer or senior lecturer will have shown evidence of living up to his or her promise of excellence at teaching as evidenced by the teaching materials gathered as part of the FMER process and any additional information available to the Department such as information gained through classroom observation. The lecturer will also have a record of excellence in the performance of any assigned nonteaching responsibilities.

Nonrenewal of Appointment:

The lecturer or senior lecturer will have failed to perform well as a teacher (or in his or her nonteaching responsibilities) as evidenced by the materials gathered as part of the FMER process and any additional information available to the Department such as information gained through classroom observation.

Terminal Reappointment:

The lecturer or senior lecturer will have persistently failed to perform well as a teacher (or in his or her nonteaching responsibilities) as evidenced by the materials gathered as part of the FMER process and any additional information available to the Department such as information gained through classroom observation.

November 27, 2011 (approved by Dean)

Research Title Series Faculty

Terms for appointment of Research Professors are stipulated by AR 2.5. Continuation in a research position is contingent on success in receiving external funding to support the research program of the faculty member.

Promotion to Associate Research Professor

The candidate must show evidence of a sustained, long‐term commitment to scholarly research and publication. 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. Regular presentation of completed and ongoing work at professional meetings is expected as this provides an opportunity for the candidate to promote her/his research and represent the Department and University.

Promotion to Research Professor

Promotion to Professor requires that faculty have continued to realize all aspects of the professional promise implicit in the promotion to Associate Research Professor. The candidate 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 promotion to Associate Research Professor.