

# **EVALUATION FOR REAPPOINTMENT, PROMOTION, AND TENURE**

## **DRAFT**

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### **1. CRITERIA**

In making evaluations required for reappointment, promotion, and tenure, three major categories of professional responsibility are to be used. These categories, in order of importance, are teaching effectiveness; scholarship and creative activity; and service to the university, the discipline/profession and the community.

All academic units must have specific guidelines concerning expectations for reappointment, promotion, and tenure, what materials may be considered in each review category, what constitutes appropriate documentation, and how materials will be evaluated. All guidelines must be approved by a majority of the tenured / tenure-track faculty within the affected unit(s), the Chair or School Director, the Dean, and the Provost. Upon final approval by the Provost, all faculty within the affected units(s) must be notified and guidelines must be made available. All new faculty will be given a copy of these guidelines at the time of their hiring.

#### **1.1 Teaching**

Teaching includes all work that is intended primarily to enhance student learning. Assessment of teaching effectiveness should take into account documented student learning, contact hours, preparations, delivery method, and number of students.

#### **1.2 Scholarship and Creative Activity**

Scholarship and creative activity includes all work that is related to the applicant's academic discipline or current role at the University. To qualify as scholarship or creative activity, the activity should require a high level of discipline-related or interdisciplinary expertise, and meet the standards of the discipline for scholarly and creative activity.

#### **1.3 Service to the University, the Discipline/Profession, and/or the Community**

Service includes all work that contributes to the effective operation, governance, and advancement of programs, departments, schools, colleges, the University, one's discipline, and/or the community.

### **2. PROCEDURES FOR DECISIONS ON REAPPOINTMENT, PROMOTION, AND TENURE**

As stated in Kentucky law, all persons involved in evaluation of personnel shall consider all information received and all deliberations as confidential unless disclosure is required by law.

### **2.1 Time Schedule**

Each spring, the Provost will issue a calendar listing deadlines for each step in the evaluation process for the coming academic year, a template for dossier preparation, and notification of any updates to the process.

### **2.2 Initiation of Request**

The applicant is responsible for initiating consideration by applying for reappointment, promotion, tenure, or a combination of them. A full-time administrator with academic rank may apply for tenure or promotion supported by documentation. The applicant will compile an RPT dossier, including a cover sheet provided by the Provost's office.

#### **2.3.1 Departmental / School Committee**

Each department or school shall have a reappointment, promotion, and tenure (hereinafter, RPT) committee consisting of at least five (5) faculty members elected at a regular or special department or school faculty meeting. If the department or school has five (5) or more full-time tenured members in the case of a tenure committee or five (5) or more members of appropriate rank (a rank above the level of the applicant) in the case of a promotion committee, then the committee shall be formed from faculty within the department or school. If the department or school has fewer than five (5) full-time, tenured members in the case of a tenure committee, or fewer than five (5) members of appropriate rank in the case of a promotion committee, those members, in consultation with the department chair or school director, shall prepare a list of full-time, tenured faculty of appropriate rank from other departments or schools from which faculty will be appointed by the committee to fill out its membership. In choosing members from other departments or schools, preference shall be given to teaching faculty in departments or schools with affinity to the department or school.

The members of the committee shall elect their own chair. The committee chair shall notify the department chair or school director of committee membership within ten (10) working days of election.

#### **2.3.2. Departmental / School Committee: Eligibility**

All full-time, tenure-track faculty in the department or school are eligible to vote to elect the committee membership. Only full-time, tenured faculty may serve on the committee. The department chair or school director may not serve on the committee. Department chairs or school directors in other departments or schools, and assistant and associate deans with faculty appointments serving as administrators with reassigned time may

serve on the committee. Tenured faculty with appointments in more than one department / school or discipline may serve on the committee of any department / school or discipline in which they hold appointment. Faculty on sabbatical or paid leave are eligible but not required to serve on the committee. Faculty on unpaid leave are not eligible to serve on the committee.

Upon agreement of RPT committee members, the department chair or school director, the appropriate dean, and the applicant, faculty external to the University and of suitable rank and tenure may serve on the committee. Persons holding full-time administrative appointments, as defined in Article I, Section H.1, of this Part, are not eligible to serve on the committee.

In departments or schools where no faculty members are eligible to serve on a needed RPT committee, the department or school faculty shall serve in place of the department or school committee members to elect suitable RPT committee members.

### **2.3.3 Department / School Committee: Deliberations**

A quorum of an RPT committee shall be four-fifths (4/5) of its members; a quorum is required in order for the committee to act.

Material considered by the RPT committee must include, but may not be limited to, the applicant's submissions. The committee may consider supplemental material that will aid in their decision. If material not submitted by the applicant is considered, the applicant must be notified of this material. As part of their deliberations, the RPT committee may meet with the applicant when such a meeting aids in the committee's decision process.

If an RPT committee requires clarification on any procedural matter, the committee should make this request to the respective department chair or school director. Committees should not ordinarily make requests to the Dean, Provost, University Counsel, Human Resources, or any other University official or department.

### **2.3.4 Department / School Committee: Voting and Reporting**

Each member of the committee shall have one vote. Each member is required to vote on each matter before the committee. A member who has not reviewed materials submitted by the applicant or fully participated in the committee discussion of the applicant cannot vote on that applicant.

The recommendation of the committee shall be reported in writing to the department chair or school director and must be characterized as either unanimous or non-unanimous. The recommendation of the committee will reflect the committee's deliberations and

must be signed by all committee members. In cases where the committee vote is not unanimous, support for both positive and negative votes must be included in the recommendation. In the case of a tie vote, the committee's recommendation will be deemed a positive recommendation. A copy of the recommendation will be given to the applicant.

#### **2.4 Chair / Director**

After receipt of the committee recommendation, the department chair or school director shall make a recommendation to the dean in writing. The chair or director may consult with the department or school committee prior to making a recommendation, but not with committee members individually. As part of his or her deliberations, the department chair or school director may meet with the applicant to aid in his or her decision. The reasons for the department chair's or school director's recommendation, whether positive or negative, shall be included in the recommendation. The department chair or school director shall forward his or her recommendation, the department or school committee's recommendation, and the applicant's file to the appropriate dean. A copy of the department chair's or school director's recommendation shall be given to the applicant and all members of the department or school committee.

#### **2.5 Dean**

After receipt of the department chair's or school director's recommendation and the department or school committee's recommendation, the dean shall make a recommendation to the Provost in writing. The reasons for the dean's recommendation, whether positive or negative, shall be included in the written recommendation. The dean may consult with the department or school committee and/or the department chair or school director prior to making a recommendation, but not with individual committee members. As part of his or her deliberations, the dean may meet with the applicant to aid in his or her decision. The dean shall forward this recommendation, the department chair's or school director's recommendation, the department or school committee's recommendation, and the applicant's file to the Provost. A copy of the dean's recommendation shall be given to the applicant, the department chair or school director, and all members of the department or school committee.

#### **2.6 Provost**

After receipt of the dean's recommendation, the department chair's or school director's recommendation, the department or school committee's recommendation, and the applicant's file, the Provost shall make a written recommendation to the President. The reasons for the Provost's recommendation, whether positive or negative, shall be included in the written recommendation. The Provost may consult with the department or school committee, the department chair or school director, the dean, or with any combination of

them, but not with individual committee members. As part of his or her deliberations, the provost may meet with the applicant to aid in his or her decision. A copy of the Provost's recommendation shall be given to the applicant, the dean, the department chair or school director, and all members of the department committee.

## **2.7. President**

The President will forward the Provost's recommendation to the Board of Regents.

## **2.8. Board of Regents**

Reappointment, promotion, and tenure may be granted only by the Board of Regents, and then only upon the recommendation forwarded by the President of the University. The Board shall act in accordance with statutory requirements and the By Laws of the Board of Regents

## **2.9 Notice of Non-Reappointment**

Notice of non-reappointment of a probationary contract must be in writing, by the Provost, and given:

- a. not later than December 15 of the second academic year of service;
- b. at least twelve (12) months before the expiration of an appointment after two or more years of service at the University.

## **2.10 Formal Reconsideration and Appeal**

In the case of a negative recommendation concerning reappointment, promotion, tenure, or any combination of them, the applicant has the right to a formal reconsideration only at the level of the initial negative recommendation. An “initial” negative recommendation is defined as the first negative recommendation given for a particular reason. If a negative recommendation is subsequently given at a higher level for a different reason, it shall be considered an initial negative recommendation for the purpose of formal reconsideration. When a negative recommendation is first made, the applicant shall be informed, in writing, of the right to request a formal reconsideration.

In order to exercise this right, the affected applicant must request the reconsideration in writing, with any omitted materials attached, within ten (10) University working days of receipt of notification of the negative recommendation. Upon receipt of such a request for reconsideration, the department or school committee or the person who made the initial negative recommendation shall complete the reconsideration within ten (10) University working days and shall notify the applicant, in writing, of the decision reached. The department or school committee must send a copy of the request for reconsideration to the Office of the Provost for the purpose of resetting the review calendar for the applicant. During the process of reconsideration, the calendar for the recommendation is extended,

and the next level of recommendation shall not consider the applicant's application until reconsideration is completed. Once the decision regarding formal reconsideration is reached, the process shall continue at the next level.

The procedures for the committee's deliberations, voting, and reporting will be the same procedures as specified in sections 2.3.3 and 2.3.4 of this document.

In the event the Provost makes a negative recommendation on an application for reappointment, promotion, tenure, or any combination of them, the applicant may appeal using the procedures set forth in Section XV., Grievances. The appeal must be initiated by the applicant within fifteen (15) University working days from receipt of the Provost's notice.

### **2.11 Withdrawal of Appeal**

A faculty member may withdraw an appeal at any time by request in writing. In that event, no further action may be taken concerning the appeal. In the case of denial of mandatory tenure, if an appeal from a negative recommendation or decision is withdrawn prior to a decision on the appeal, tenure cannot be recommended.

### **2.12 Time**

Unless otherwise specified in these procedures, whenever any recommendation or notice is to be given or conveyed, it shall be given or conveyed within fifteen (15) University working days of receipt of the file by the person who is to take action.