Evidences for the Evaluation of Faculty in Cases of Promotion & Tenure

Department of Finance and Quantitative Methods

Gatton College of Business & Economics

The evaluation of faculty for promotion and tenure is an extremely important process. This document provides guidance regarding the evidence considered by the Department of Finance and Quantitative Methods when making its recommendations for promotion and tenure. All matters discussed here do not supplant any University regulations, rules, or procedures, but should be considered as providing supplementary information.

The University of Kentucky Administrative Regulations (AR 2:2-1 7/1/08)[[1]](#endnote-1) provide the following guidance for promotion and tenure:

I. Areas of Activity

Three areas of activity are important in the evaluation of faculty for appointment, reappointment, promotion, and the granting of tenure in the regular title series: (1) teaching, advising and other instructional activities; (2) research or other creative activity; (3) professional, University, and public service. Evaluation of a faculty employee’s performance in each area of activity should be commensurate with his or her approved distribution of effort agreement. Excellence in teaching, advising and other instructional activities, research or other creative activity, and in professional, University and public service are expected.

Since all appointment, reappointment, promotion, and tenure actions shall be made on the basis of merit, the following detailed statements regarding each of these areas will serve as a guide for evaluating the accomplishments of a faculty member.

A. Teaching, Advising, and Other Instructional Activities

1. Teaching involves creating a learning environment, as well as transmitting, transforming and extending knowledge. Superior teaching and advising shall be recognized as integral components of the evaluation for promotion and tenure as appropriate, given the faculty employee’s assignment. Educational activities extend far beyond the classroom, and the University of Kentucky acknowledges the importance of educating citizens, both on and off campus, as part of its land grant mission. Recognition also shall be given to a faculty employee’s contribution to student welfare through service on student-faculty committees, as an advisor to student organizations, or other instructional activities enumerated in the Teaching Portfolio (AR 3:10). Teaching, advising, and other instructional activities shall be documented through the Teaching Portfolio.

2. Objective evidence of the quality of teaching shall be included in the final dossier. Such evidence should include: (a) reports by colleagues qualified in the field; (b) evaluations by students and, if available, graduates; and (c) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.

3. Colleges shall evaluate the quality as well as the quantity of academic advising done by each faculty employee. The results of this evaluation shall be considered in the annual performance review and in the decisions concerning retention or promotion of each faculty employee.

B. Research and Other Creative Activity

1. Faculty employees have a responsibility for the creation of knowledge. Scholarship related to research or creative endeavors shall be original, of high quality, and validated by rigorous peer review. Communication of the work’s significance to the scholarly community and to the public at large is a component of the mission of the University and, therefore, its evaluation is an integral part of the promotion and tenure process. The documented quality of research and/or creative scholarship shall be an integral component of the promotion and tenure evaluation process as appropriate, given the faculty employee’s assignment.

2. Evidence of recognition of research or creative activity and its long-lasting merit and worth is expected. Normally, publication in the form considered as appropriate for the field will constitute this evidence.

3. In addition to the more traditional methods of presentation, examples of creative scholarship include public performances and exhibitions, audio and visual recordings, applications of technical innovations and other products.

C. Professional, University and Public Service

1. A service component is a normal part of a faculty employee’s obligation to the University. Formation of educational policy, participation in faculty governance, and effective performance of administrative duties shall be taken into consideration in the evaluation process.

2. Faculty employees are expected to engage in service related to their professional role as scholars for the benefit and development of local, state, national, international, and the University communities. Documented scholarship related to service that is directly associated with one's special field of knowledge, expertise, and professional role within the University shall be evaluated as positive evidence.

3. Citizenship activities of faculty employees and projects unrelated to their professional roles in the University, while laudable, do not constitute evidence for academic appointment, reappointment, promotion, or the granting of tenure.

II. Balance of Intellectual Attainment

A major consideration in any appointment, reappointment, promotion, or the granting of tenure is superior achievement in the various activities discussed in the preceding paragraphs. The proportion of these activities will vary in terms of the individual's assigned distribution of effort and specialty. Ideally, individuals selected for tenure should demonstrate superiority in all of the major criteria discussed here as reflected in their assigned distribution of effort. Care must be taken to ensure that outstanding performance in a single activity does not receive undue consideration in relation to the other factors that should be considered in evaluating academic excellence.

III. General Criteria for Ranks

The following general criteria for appointment and promotion serve as guidelines for persons involved in the decision process.

A. Assistant Professor

Appointment, reappointment, or promotion to the rank of assistant professor shall be made after it has been determined that the individual has earned the terminal degree appropriate to the field of assignment as recognized by the academic discipline, has capability for excellent instruction, research or other creative activity, and service, and demonstrates potential for significant growth.

B. Associate Professor

Appointment, reappointment, or promotion to associate professor shall be made only after a candidate has met the criteria for assistant professor and has demonstrated high scholarly achievements commensurate with his other assignment in areas of: (1) teaching, advising and other instructional activities; (2) research or other creative activity; (3) professional, University and public service. In particular, an indication of continuous improvement and scholastic contributions should be evident as documented by the candidate. Further, the individual should have earned external recognition for excellence in her or his scholarly activities. Where appropriate, this recognition should be on a regional or national level as appropriate to the field of assignment.

C. Professor

Appointment, reappointment, or promotion to full professor shall be made only after a candidate has met the criteria for associate professor and has demonstrated high scholarly achievements commensurate with his or her assignment in areas of: (1) teaching, advising, and other instructional activities; (2) research or other creative activity; (3) professional, University and public service. In particular, such an appointment implies that, in the opinion of colleagues, the candidate’s scholarship is excellent and, in addition, she or he has earned a high level of professional recognition. Where appropriate, this recognition should be on a national or international level in the field of assignment. It is further emphasized that this rank is in recognition of attainment rather than length of service.

IV. Applicability

This regulation is applicable to faculty employees appointed in the Regular Title Series after December 31, 1999.

The criteria for promotion and tenure at the University of Kentucky are records of excellence in all areas of activity assigned to the faculty member. The evidences subsequently presented are intended to be indicative of excellence in the following areas of activity as presented in (AR 2:2-1 7/1/08): 1) Teaching, Advising, and Other Instructional Activities, 2) Research and Other Creative Activity, and 3) Professional, University and Public Service. The evidences provided below are used by the Department of Finance and Quantitative Methods in the Gatton College of Business and Economics when evaluating faculty for promotion and tenure.

Promotion to Associate Professor and/or the Awarding of Tenure:

1) Teaching, Advising, and Other Instructional Activities

Evidences listed in the AR include: “(a) reports by colleagues qualified in the field; (b) evaluations by students and, if available, graduates; and (c) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.” Other evidence may include teaching awards, letters from graduates, and use of innovative instructional methods. Consideration should be given to the amount of teaching as indicated by course load (number of courses taught per year), course level (undergraduate, masters or doctorate), course development, number of students, and number of different courses taught. Participation on doctoral advisory committees and other doctoral program activities should be considered positively. Participation in curriculum design and development should be considered positively. The evidences supportive of excellence in teaching, advising, and other instructional activities should be captured in the candidate’s Teaching Portfolio.

2) Research and Other Creative Activity

Primary evidence of excellence in research and other creative activity include an external reputation for research excellence on a national or international level, as determined by outside letters from noted scholars and internal evaluations of the eligible faculty in the Department of Finance and Quantitative Methods. Evaluations are based on assessments of the quality of the publication record in refereed journals in the individual’s specific academic domain, or related domains. Other evidences of research excellence include research impact (e.g., as indicated by citation counts), refereed national and international proceedings papers, scholarly books and book chapters, and regional, national or international research awards. Obtaining external research grant funding would certainly be viewed positively.

3) Professional, University and Public Service

Evidence of professional service includes serving as a national or international conference reviewer, journal reviewer, editorial board member, editor, or officer in a professional organization. Service to the University at the assistant professor level will be evidenced by participation in assigned committees, as well as participation in Department of Finance and Quantitative Methods, Gatton College, and University functions.

Promotion to Professor

1. Teaching, Advising, and Other Instructional Activities

Evidences listed in the AR include: “(a) reports by colleagues qualified in the field; (b) evaluations by students and, if available, graduates; and (c) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.” Other evidence may include teaching awards, letters from graduates, and use of innovative instructional methods. Consideration should be given to the amount of teaching as indicated by course load (number of courses taught per year), course level (undergraduate, masters or doctorate), course development, number of students, and number of different courses taught. Participation in curriculum design and development should be considered positively. Involvement in doctoral education should also be considered positively. Evidence of involvement in doctoral education includes serving as a dissertation chairperson or research advisor, coauthoring with doctoral students, and serving on dissertation committees. The evidences supportive of excellence in teaching, advising, and other instructional activities should be captured in the candidate’s Teaching Portfolio.

2) Research and Other Creative Activity

Primary evidence of excellence in research and other creative activity include an external reputation for research excellence on an international level, as determined by outside letters from noted scholars and internal evaluations of the eligible faculty in the Department of Finance and Quantitative Methods. Evaluations are based on the quality of the publication record in refereed journals in the individual’s specific academic domain, or related domains. Primary evidence of research excellence also is provided through research impact (e.g., as indicated by citation counts). Other evidence includes refereed national and international proceedings papers, research presentations at other institutions, scholarly books and book chapters, and research awards. Obtaining external research grant funding would certainly be viewed positively.

3) Professional, University and Public Service

The quantity of service to the profession, the University, and the public should increase with rank. Evidence of a candidate's contribution to service across a broad spectrum of potential activities includes, but is not limited to, the following areas:

Evidence of excellence in professional service may be provided by membership on editorial review boards of leading journals, selection as a reviewer for leading journals, and appointments as an editor or an associate editor for leading journals. Leadership roles in the administration of academic and professional organizations also provide evidence with regard to professional service. Similarly, leadership roles for major professional conferences (e.g., conference chair, organizing committee, track chair) should be considered. Other evidence includes presentations at national and international conferences,

Evidence of excellence in University service may be provided by leadership in serving on committees within the Department of Finance and Quantitative Methods, the Gatton College, or the University. Evidence of excellence in University service is further provided by leadership in serving as a director of undergraduate studies or director of graduate studies. Mentoring of graduate students and junior faculty also is evidence of University service.

Evidence of excellence in public service may be provided by academically based presentations to, and involvement with, community and business groups, testimony before governmental bodies, and serving on boards.

1. <http://www.uky.edu/Regs/files/ar/ar2-2-1.pdf> [↑](#endnote-ref-1)