

DEPARTMENT OF MOLCULAR AND CELLULAR BIOCHEMISTRY
University of Kentucky
College of Medicine
RULES OF PROCEDURE

Last revised 11-18-09 revision 4

I. BASIC PROCEDURES:

A. Faculty Involvement in Educational Policy

1. Academic Requirements, Courses of Study and Class Schedules

Faculty have primary responsibility for the development of policies related to academic programs, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding polices to serve public service functions.

2. Graduate Programs

The Curriculum Committee submits its recommendations for the graduate program to the faculty that in turn approve and modify as necessary.

3. Research Programs

The Department in conjunction with the Dean or a designee, has instituted research development initiatives to 1) facilitate research starts with emphasis on younger faculty; and 2) encourage research starts and pilot projects among faculty to establish external funding.

4. Service Functions

Faculty serve on Department, College, and University committees, as assigned by the Chair or as elected. It is the Chair's responsibility to pay attention to the level of service functions to ensure a proper balance between such assignments, education, and research.

B. Faculty Involvement in New Appointments, Reappointments, Tenure and Promotion, Faculty Performance Evaluation, and Oversight of Department Rules of Procedure.

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenured track faculty possesses voting rights by virtue of their primary appointments in the department. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures. These are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined. The guidelines for promotion for the department are based on these definitions and are found in the documents herein.

1. New Appointments

The Chair consults with the Dean to secure approvals for faculty searches to fill vacancies on the primary faculty. The Chair appoints search committees to seek candidates for faculty appointments. The search committees, with approval from the Chair, invite candidates for on-campus visits. The Chair seeks approval from the faculty, both tenured and untenured, for new appointments initially at a faculty meeting and subsequently in individual, written recommendations. A director of a multidisciplinary center and/or a chair of a department where a faculty member holds a secondary appointment also participate in the process.

The Chair seeks approval from the faculty for new, post-retirement appointments, initially at faculty meetings and subsequently in individual, written recommendations.

2. Reappointments

Tenured faculty with primary appointments in the Department participate in the review process for reappointments of non-tenured faculty. The tenured and untenured associate professors are normally reviewed every other year, and the untenured assistant professors are normally reviewed annually. Non-tenured faculty members must be formally reviewed after two and four years of residence. A director of a multidisciplinary center and/or a chair of a department where a faculty member holds a secondary appointment is consulted in the process. The Chair writes a letter to the non-tenured faculty member communicating the recommendations of the tenured faculty, before forwarding this recommendation to the Dean.

Tenured faculty participate in the review process for reappointments of faculty in post-retirement status.

3. Tenure and/or Promotion of Untenured Faculty

Tenured faculty with primary appointments in the Department participate in the review process for promotion and/or tenure of non-tenured faculty. When a candidate holds an appointment in another Department or multidisciplinary center, the director or chair of that unit may also contribute his/her evaluation to the Departmental review.

The process follows the guidelines set forth in the University Administrative Regulations and includes the preparation of a dossier with updated *vita*, a synopsis of past, present and future research interests and accomplishments, a history of research funding and, where appropriate, teaching experience and evaluation. This information is provided to tenured faculty, selected peers in other departments in this institution and at least six renowned scholars in the field who hold appointments at other institutions. Written recommendations obtained from referees are included in the dossier and are considered in deliberations of the faculty.

The Chair calls a special meeting of tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. The tenured and untenured associate professors are normally reviewed every other year; the untenured assistant professors are normally reviewed annually. Non-tenured faculty members must be formally reviewed after two and four years of residence. Information submitted by candidates for promotion to associate professor is sent to the tenured faculty for review prior to the scheduled meeting. Candidates may express dissent on these and other matters, in accord with promulgated

University rules and procedures. The Chair gives a letter to the non-tenured faculty member communicating the recommendations of the tenured faculty, before forwarding this recommendation to the Dean.

4. Promotion of Tenured Faculty

Written letters are provided by the tenured faculty to the Chair as part of the dossier that is subsequently forwarded to the Dean when proposing a faculty member for promotion.

The Chair calls a special meeting of tenured faculty for consultation regarding promotions of tenured faculty at associate professor rank. Information in accord with the criteria established by the Department for promotion to professor and the supporting evidence is sent to the faculty at the rank of professor for review prior to the scheduled meeting. The Chair consults with and seeks written support of each tenured faculty individually, when one of their members is considered for promotion. The College's rules govern the promotion of tenured faculty. Faculty may dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures. The Chair gives a letter to the non-tenured faculty member communicating the recommendations of the tenured faculty, before forwarding this recommendation to the Dean.

5. Faculty Performance Evaluations

The Chair and tenured faculty discuss the performance of untenured faculty for the two- and four-year evaluations. The Chair, in conjunction with the opinions voiced by the tenured faculty, will review and summarize the untenured faculty members' performance in a formal evaluation provided to the Dean and to the untenured faculty. College policies require a bi-annual faculty performance review, but the Chair may perform annual reviews.

6. Establishing and Modifying Rules of Procedure

The faculty discuss new and modified Rules of Procedure at a faculty meeting and adopt changes by a vote of the faculty that are in accord with Governing and Administration Regulations of the University. Copies of these Rules are available to the Faculty in the Department Administrator's office and on the Department's web site.

II. MEETINGS

A. Regularly Scheduled Faculty Meetings

1. Regular faculty meetings are held once a month during the academic year on dates announced at the start of each semester and on dates selected to permit maximum participation.
2. Attendees at faculty meetings include the Chair, the faculty who hold primary or joint appointments, the Department Administrator, and any invited guests approved by the Chair. Voting by proxy is not allowed. Voting is by voice vote unless a secret ballot is requested by a majority of those present and voting. Faculty with joint appointments do not, however, have voting privileges on appointments, promotions and tenure.

3. Issues may be brought to the attention of the faculty by the Chair or by a faculty member who submits items for the meeting agenda to the Chair, at least two days in advance of the meeting.
4. A quorum is defined as the faculty members in attendance.
5. Actions for which a faculty vote is required are approved by a majority of faculty members present and voting.
6. The Chair or a designee presides over faculty meetings using Roberts Rules of Order for conducting the meeting.
7. Faculty are notified in a timely fashion of the time, agenda, and place of upcoming meetings. The agenda is distributed at least 24 hours before the meeting.
8. Minutes of the faculty meetings are circulated to the faculty and written copies are maintained in the Department for at least ten years. The Department complies with all rules and regulations relating to open meetings, open records, and archival requirements, congruent with University policy.

B. Special Faculty Meetings

1. Special faculty meetings are called in three ways: [1] by the Chair; [2] by the Chair's written designee; or [3] by a written call by twenty percent of the voting members submitted to the Chair. The meeting is held within two weeks of the Chair receiving the written request. A quorum is defined as a majority of faculty members in attendance. Actions for which a faculty vote is required are approved by a majority of faculty members present and voting.
2. The items listed in section A.2-8 are followed for special faculty meetings.

III. COMMITTEES

A. Standing Committees: The Department has a number of standing committees that are charged with specific responsibilities. These committees meet when appropriate to discuss issues related to their charge and to present recommendations to the Chair for consideration by the faculty as a whole. Committee appointments are for one-year, renewable terms. The Chair is an *ex-officio* member of all committees and a member of the Executive Committee. The current standing committees are:

1. Executive Committee. The Committee consists of the Chair and full professors and is charged with the responsibility of advising the Chair on various matters. This Committee meets on an as-needed basis.

2. Curriculum Committee: This Committee consists of four faculty members appointed by the Chair and one graduate student representative chosen by the Biochemistry Students Association. The Director of Graduate Studies serves as an *ex-officio* member. This Committee is responsible for considering all aspects of the teaching program. The Committee, however, does not consider teaching evaluations that are considered by the Chair as a part of overall faculty

performance evaluation. The Committee makes recommendations for improvements in course offerings in the Ph.D. program.

3. Promotion and Tenure Committee. The tenured faculty act as a committee of the whole to consider promotion and tenure of assistant professors. The tenured professors act as a committee of the whole to consider promotion and tenure of tenured associate professors. The procedures used to arrive at recommendations for appointments, promotion and tenure are set forth elsewhere in this document.

B. *Ad hoc* Committees: The Department has *ad hoc* committees that are created on occasion and charged with specific tasks. For example, Graduate Program Committees are appointed by the Dean of the Graduate School and oversee the intellectual development and research programs of graduate students. *Ad hoc* committees meet when appropriate to discuss issues related to their charge and typically bring recommendations forward to the Chair. The Chair may or may not bring forward the Committee's advice for consideration by the faculty as a whole. Committee appointments are for the term necessary to accomplish the task. The Chair is an *ex-officio* member of such committees.

IV. FACULTY PERSONNEL ACTIONS

Standard Personnel File - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

Policy and procedure for periodic review of department Chairs - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with the Chair and uses the data when making his recommendation to the Provost for the reappointment of the chair.

Distribution of Effort: The Chair, in consultation with the Department Administrator and faculty member in question, determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by the faculty member and the Chair.

Evaluation of Faculty Performance: Faculty are evaluated on an annual basis by the Chair (see above). Each faculty member submits an updated curriculum vitae to the Chair on an annual basis. Major areas of evaluation include: research, teaching, University and public service, and professional activity and administration.

Appointments and Reappointments: See above

Promotion and Tenure: See above

V. ACADEMIC MATTERS

Academic Advising: Open-door advising and scheduled office hours are available for students as noted in the course syllabi.

Curriculum: A course director, in conjunction with the Chair oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Course policies are described in the syllabus, which is made available to the students. The faculty and Chair may discuss problems and needed changes in the course policy. The faculty and Chair may discuss the progress of students, needed changes in course content, and the

distribution of topics. A consensus on topics covered is generally reached among faculty teaching in a particular course. If there is a lack of agreement among the faculty in a particular course, the Chair, in consultation with the course director, makes a final decision. The course director, with the help of appropriate tenured faculty, is responsible for attending lectures of junior faculty in order to provide guidance on possible improvements in teaching.

Class Schedules: Class schedules are determined by the faculty in consultation with the Dean or a designee.

Evaluations of Courses: A course director seeks written evaluations from students. Concerns raised in these reviews are brought to the attention of the faculty, as appropriate.

VI. BUDGET PREPARATION

The Chair and the Department Administrator develop a budget for the Department, in accord with guidelines provided by the Dean. The Chair defines the allocation of resources, makes decisions on Department expenditures, and oversees management of the Department. The Chair consults with the faculty regarding budget but has the final authority on budget decisions. Budget information is shared with the faculty at faculty meetings.

Addendum I

APPOINTMENT AND PROMOTION FROM ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR

As specified in AR II-1.0-1 of the University's Policies and procedures manual and the College of Medicine, faculty members will be evaluated for appointment and promotion from **Assistant Professor to Associate Professor** using three basic criteria. These criteria include:

- (1) instructional activities;**
- (2) research and other creative activities;**
- (3) professional, University, and public service.**

A detailed explanation of these three criteria and examples of other evidence that will be used in guiding evaluations for promotion and tenure in the Department of Molecular and Cellular Biochemistry are as follows:

- 1. instructional activities:** Faculty are required to participate in the teaching missions of the Department. This participation includes teaching Departmental courses, seminar/tutorial programs, and/or courses offered by other departments within The University of Kentucky. Teaching is assessed through a combination of written evaluations by colleagues who participate and/or monitor the course and/or by student evaluations. Faculty are also evaluated in their active role mentoring graduate students, postdoctoral fellows, and where applicable, undergraduate students.

Evidence of Instructional Excellence. The following is a representative and *non-inclusive* list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure.

Courses taught at a rigorous level, with recognized excellence as measured by peer evaluation, student performance evaluation and/or student satisfaction survey.

Direction of graduate research as evaluated by peers and/or letters from current or former graduate students. This may include acting as chair of doctoral research committee(s), participation on doctoral research committees or significant contributions to student mentoring. Evidence may include publication activity, award of predoctoral fellowships or grants and/or placement of former graduate students in appropriate professional positions.

Direction of postdoctoral research as evaluated by peers and/or letters from current or former postdoctoral fellows. Evidence may include publication activity, award of postdoctoral fellowships or grants and/or placement of former postdoctoral students in appropriate professional positions.

Outstanding performance as Departmental Director of Graduate Studies.

Receipt of an outstanding teaching award(s) from the University or professional society

Development of a new course or a new section in an existing course.

Receiving external grant support for teaching and/or learning projects.

Direction of undergraduate research, as evaluated by peers, including published papers and/or abstracts.

Invitation to teach technical workshops at regional, national or international institutions of higher learning or at scientific society meetings.

- 2. Research and other creative activities:** Faculty are required to develop an independent and nationally recognized research program.

Evidence of Research Excellence. The following is a representative and *non-inclusive* list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Extramural research funding as principal investigator from a major funding agency.

Continuous extramural research funding as principal investigator from a major funding agency.

Renewal of funding from major funding agencies where the faculty member's role is principal investigator.

Award of extramural grants as principal investigator in areas that represent departure from prior research themes.

The number of technicians, postdoctoral fellows, graduate students, and undergraduate students participating in the research program and the career trajectories of these coworkers.

Publication in leading refereed journals and frequent citation of this work by others.

Average at least one manuscript as the corresponding author in a high quality, peer-reviewed journal per year from work emanating from the University of Kentucky.

Receiving a major fellowship or research award.

Significant publication and/or research funding resulting from collaborative efforts with other researchers where the faculty member plays a substantial role in the research.

Publication and/or editing of scholarly book(s) by reputable publisher(s) in the faculty member's area of research.

Participation in the peer review process for major research funding agencies.

Serving as editor or member of the editorial board of a major journal.

Presentation of research at national and international conferences.

Peer acknowledgement through solicited letters from leaders in the faculty member's area of research.

Participation in the peer-review process for leading research journals.

3. Professional, University and public service: Faculty are required to provide service to the University, College of Medicine, the Department and the community at large.

Evidence of Service Excellence. The following is a representative and *non-inclusive* list of the evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Service on University committees at all levels.

Serving as an officer in a relevant national or international professional organization.

Serving as an officer in a relevant regional or state professional organization.

Serving on a major governmental commission, task force or board.

Serving an administrative leadership role at the University of Kentucky.

Serving as an officer in the Faculty Senate.

Organizer of state, regional, national, or international conference or symposia.

Participation in community activities relevant to the mission of the University.

Addendum II

APPOINTMENT AND PROMOTION FROM ASSOCIATE PROFESSOR TO PROFESSOR

As specified in AR II-1.0-1 of the University's Policies and procedures manual and the College of Medicine, faculty members will be evaluated for appointment and promotion from **Associate Professor to Full Professor** using three basic criteria. These criteria include:

- (1) instructional activities;**
- (2) research and other creative activities;**
- (3) professional, University, and public service.**

A detailed explanation of these three criteria and examples of other evidence that will be used in guiding evaluations for promotion and tenure in the Department of Molecular and Cellular Biochemistry are as follows:

- 1. instructional activities:** Faculty are required to participate in the teaching missions of the Department. This participation includes teaching Departmental courses, seminar/tutorial programs, and/or courses offered by other departments within The University of Kentucky. Teaching is assessed through a combination of written evaluations by colleagues who participate and/or monitor the course and/or by student evaluations. Faculty are also evaluated in their active role mentoring graduate students, postdoctoral fellows, and where applicable, undergraduate students.

Evidence of Instructional Excellence. The following is a representative and ***non-inclusive*** list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure.

Courses taught at a rigorous level, with recognized excellence as measured by peer evaluation, student performance evaluation and/or student satisfaction survey.

Direction of graduate research as evaluated by peers and/or letters from current or former graduate students. This may include acting as chair of doctoral research committee(s), participation on doctoral research committees or significant contributions to student mentoring. Evidence may include publication activity, award of predoctoral fellowships or grants and/or placement of former graduate students in appropriate professional positions.

Direction of postdoctoral research as evaluated by peers and/or letters from current or former postdoctoral fellows. Evidence may include publication activity, award of postdoctoral fellowships or grants and/or placement of former postdoctoral students in appropriate professional positions.

Outstanding performance as Departmental Director of Graduate Studies.

Receipt of an outstanding teaching award(s) from the University or professional society

Development of a new course or a new section in an existing course.

Receiving external grant support for teaching and/or learning projects.

Direction of undergraduate research, as evaluated by peers, including published papers and/or abstracts.

Invitation to teach technical workshops at regional, national or international institutions of higher learning or at scientific society meetings.

2. Evidence of Research Excellence. The following is a representative and ***non-inclusive*** list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Extramural research funding as principal investigator from a major funding agency.

Continuous extramural research funding as principal investigator from a major funding agency.

Renewal of funding from major funding agencies where the faculty member's role is principal investigator.

Award of extramural grants as principal investigator in areas that represent departure from prior research themes.

The number of technicians, postdoctoral fellows, graduate students, and undergraduate students participating in the research program and the career trajectories of these coworkers.

Publication in leading refereed journals and frequent citation of this work by others.

A sustained record of publication as the corresponding author in high quality, peer-reviewed journals from work emanating from the University of Kentucky.

Receiving a major fellowship or research award.

Significant publication and/or research funding resulting from collaborative efforts with other researchers where the faculty member plays a substantial role in the research.

Publication and/or editing of scholarly book(s) by reputable publisher(s) in the faculty member's area of research.

Participation in the peer review process for major research funding agencies.

Serving as editor or member of the editorial board of a major journal.

Presentation of research at national and international conferences.

Peer acknowledgement through solicited letters from leaders in the faculty member's area of research.

Participation in the peer-review process for leading research journals.

3. Professional, University and public service: Faculty are required to provide service to the University, College of Medicine, the Department and the community at large.

Evidence of Service Excellence. The following is a representative and ***non-inclusive*** list of the evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Service on University committees at all levels.

Serving as an officer in a relevant national or international professional organization.

Serving as an officer in a relevant regional or state professional organization.

Serving on a major governmental commission, task force or board.

Serving an administrative leadership role at the University of Kentucky.

Serving as an officer in the Faculty Senate.

Organizer of state, regional, national, or international conference or symposia.

Participation in community activities relevant to the mission of the University.