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Introduction

The University of Kentucky *Faculty Credentials and Qualifications Manual* is designed to guide faculty and department chairs through the process of assessing the academic credentials and qualifications of the College’s faculty. All of the University’s instructional faculty (including part-time and adjunct) and teaching assistants are required to meet the guidelines established by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). This manual identifies the academic credentials required (1) at the time of hire and (2) to teach specific courses within the disciplines.

The information in this manual is useful for new department chairs, directors and other administrators in explaining the University’s faculty credentialing process. Further, this manual may be used in professional accreditation reports and in the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) reaffirmation process as evidence of institutional compliance with the SACSCOC Faculty Standards.

This *Faculty Credentials and Qualifications Manual* is divided into two parts. The first part of the manual, The Credentialing Process, includes the standards related to faculty as identified by SACSCOC in the *Principles of Accreditation: Foundations for Quality Enhancement*. In this part, the process is described for establishing faculty credentialing requirements of disciplines, programs, and courses. In cases where an individual’s credentials do not meet the minimum academic requirements expected for each discipline and program, a section on determining experiential qualifications of faculty is included. This part of the manual includes five sections:

- Credentialing Guidelines, Policies and Procedures
- Policies for Instructor Appointment
- Process for Evaluating Faculty Qualifications at time of Hiring
- Course Level Verification at time of Assigning Teaching Responsibility
- The Provost's Policy on TA Types and Teaching Credentials

The second part of this manual, Credentialing Requirements, describes the credentialing requirements for all degree programs, listed by college and academic unit.

Additions, deletions, and revisions may be made periodically to the *Faculty Credentials and Qualifications Manual* upon review by department chairs, program directors, staff, and Office of the Provost. Deans will be alerted of these changes in a timely and effective manner. This manual will be maintained by the Office of the Provost.
Credentialing Guidelines, Policies and Procedures

The University uses the following sources as its policy, guidelines, and procedures when determining acceptable qualifications for its faculty. The text below is quoted from the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) in the Resource Manual for the 2018 Principles of Accreditation: Foundations for Quality Enhancement.

Comprehensive Standard 6.2.a

For each of its educational programs, the institution justifies and documents the qualifications of its faculty members. (Faculty qualifications)

Qualified, effective faculty members are essential to carry out the mission of the institution and to ensure the quality and integrity of its academic programs. The emphasis is on overall qualifications of a faculty member, rather than simply academic credentials. While academic credentials in most cases may well be the standard qualification for faculty members, other types of qualifications may prove to be appropriate. Examples could include appropriately related work experiences in the field, professional licensure and certifications related to the teaching assignment, honors and awards, continuing professional development, relevant peer-reviewed publications, and/or continuous documented excellence in teaching. These types of qualifications are especially important in professional, technical, and technology-dependent fields. 6.2.a Resource Manual for The Principles of Accreditation: Foundations for Quality Enhancement

It is the institution’s obligation to justify and document the qualifications of its faculty. Determining the acceptability of faculty qualifications requires judicious use of professional judgment, especially when persons do not hold degrees in the teaching discipline or are qualified based on criteria other than their academic credentials. Similarly, persons holding a degree at the same or lower level than the level at which the course is taught require additional qualifications and the application of professional judgment. Additional justification is needed for these cases as compared to cases where the academic credentials are a ‘‘perfect match’’ for the teaching assignments. Appropriate qualifications may also differ depending on whether a course is generally transferable to other institutions; qualifications for teaching nontransferable technical courses depend heavily on professional experience and appropriate certifications or work experience.

In addition, an excerpt from the Faculty Credentials Guidelines approved by the College Delegate Assembly of the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) in December 2006 (updated for Revised Principles: April 2018) states:

When an institution defines faculty qualifications using faculty credentials, institutions should use the following as credential guidelines:

a. Faculty teaching general education courses at the undergraduate level: doctorate or master’s degree in the teaching discipline or master’s degree with a concentration in the teaching
discipline (a minimum of 18 graduate semester hours in the teaching discipline).
b. Faculty teaching associate degree courses designed for transfer to a baccalaureate degree:
doctorate or master’s degree in the teaching discipline or master’s degree with a concentration
in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
c. Faculty teaching associate degree courses not designed for transfer to the baccalaureate degree:
bachelor’s degree in the teaching discipline, or associate’s degree and demonstrated
competencies in the teaching discipline.
d. Faculty teaching baccalaureate courses: doctorate or master’s degree in the teaching discipline
or master’s degree with a concentration in the teaching discipline (minimum of 18 graduate
semester hours in the teaching discipline).
e. Faculty teaching graduate and post-baccalaureate course work: earned doctorate/terminal
degree in the teaching discipline or a related discipline.
f. Graduate teaching assistants: master’s in the teaching discipline or 18 graduate semester
hours in the teaching discipline, direct supervision by a faculty member experienced in
the teaching discipline, regular in-service training, and planned and periodic evaluations.

Policies for Instructor Appointment

The University of Kentucky utilizes full-time, part-time, and adjunct faculty, appropriately credentialed staff, and graduate students as instructors.

All instructors and course directors/coordinators of credit bearing courses must have a faculty appointment effective in the teaching assignment period, with the following exceptions:

- Graduate Teaching Assistants (TA) must have a Graduate Student Academic Staff contract, and meet credential, training, TA orientation, and other requirements set forth in the Provost’s Policy on TA Teaching Credentials.
- Non-TA graduate student instructors must meet credential, training, TA orientation, and other requirements set forth in the Provost’s Policy on TA Teaching Credentials, and have the teaching assignment approved by the Dean of the Graduate school. Students in this category either require teaching as part of the degree curriculum or are given a teaching assignment in addition to a graduate fellowship or a graduate research assistantship.
- Non-faculty employees (staff) teaching a small set of credit bearing courses, primarily academic orientation and career exploration courses, do not require a faculty appointment.

All instructors in the exceptions listed above must meet the SACSCOC credential requirements.

Links to policies:

- Standard Operating Procedure-Instructional Faculty (Part Time Instructor)

- Policy Announcement #5: Academic Appointment Requirement for Teaching Credit-Bearing Courses
  http://www.uky.edu/ofa/files/uploads/Policy_5%20Staff%20Teaching%20Credit-bearing%20Courses%2C%20Dec%202011%20%282%29.pdf

- Provost’s Policy on TA Teaching Credentials
  http://gradschool.uky.edu/ta-credentials-database
Process for Evaluating Faculty Qualifications at time of Hiring

When appointing faculty to the University, each department or college designee completes the new hire dossier, the required paperwork for each new individual. The dossier will include credential and teaching area information for “program level” credential review by the Office of the Provost:

1. Official transcripts are submitted at the time of hire as a condition of employment.

2. Faculty with an international transcript will be asked to provide a translated version. For those cases in which a department needs to have an outside service complete the translation, a list of such services can be obtained from the Office of the Provost. The Office of the Provost will utilize the services of ‘certified translation’ firms to ensure that the legal record with professional translators attesting to the accuracy of the translation is obtained including an appropriate seal of authenticity to diminish the possibility of fraud.

3. Departments or college designees enter the degree data from the transcripts into the Faculty Database (FDB). The degree disciplines are coded using a taxonomic scheme from the National Center for Education Statistics, known as the Classification of Instructional Programs or CIP codes. The CIP codes selected for the degree discipline should match the transcript information as closely as possible. If the individual’s teaching assignment is based on a concentration of graduate work in a particular discipline, the concentration discipline is also entered and CIP-coded. Course work making up the concentration must be identified. See Appendix A: FDB Degree Detail Screen example with a concentration entry.

4. Up to three official UK teaching areas and teaching levels (undergraduate and/or graduate) are entered into the FDB. The official UK teaching areas are selected from CIP codes associated with the University’s degree program inventory. The primary teaching area typically corresponds to the assignment for the primary academic appointment unit. Two additional areas are available to enter teaching disciplines associated with a joint appointment or with a less formal association with a secondary unit. See Appendix B: FDB Program Level Qualifications Detail Screen, example with multiple teaching areas.

5. The degree and teaching area information entered in the FDB is used to produce the Teaching Credentials Certification (TCC) form, which is included in the new hire dossier. The TCC form is printed from the FDB and signed by the appropriate academic administrator, usually the department chair. The information on the TCC form should be closely reviewed to insure that appropriate CIP codes have been selected for the degree disciplines and teaching areas. See Appendix C: TCC form.

6. The degree disciplines, teaching area disciplines, and teaching level information entered in the FDB is used to evaluate whether the individual’s credentials meet the SACSCOC guidelines, by matching the faculty member’s degree discipline and level with the teaching area discipline and teaching level. The FDB issues a “validation status”,
indicating whether additional qualifying information is required. See Appendix D: FDB Program Level List Screen example with validation messages.

7. Because the teaching area disciplines are limited to those assigned to the University's degree programs, the instructor’s degree discipline based on the transcript may not be an exact match. Therefore, related disciplines have been associated with the UK teaching areas to bridge the gaps where there is not an exact match.

Related CIP disciplines are listed on the Office of Faculty Advancement web site:


For each academic unit, the degree program disciplines are sorted alphabetically and the related instructor degree disciplines for undergraduate and graduate level teaching are listed to the right. The Classification of Instructional Program (CIP) codes are included for reference when using the Faculty Database.

If the instructor’s degree credentials are not in a discipline listed for a particular teaching area, the department may:

a. Request that the discipline be added as a related CIP for the teaching area. Requests are made through the Faculty Data Coordinator for approval by the Associate Provost for Faculty Advancement. In the request, indicate whether the related discipline should be added for undergraduate level teaching, graduate level teaching, or both.

Or

b. Complete the Teaching Credential Justification (TCJ) form, describing the faculty member’s additional qualifications that support the teaching assignment.

8. When the degree credentials do not meet the SACSCOC guidelines, the department is prompted to document additional qualifications by completing the Teaching Credentials Justification (TCJ) form. The TCJ form is printed from the FDB and signed by the appropriate academic administrator, usually the department chair. See Appendix E: Teaching Credentials Justification (TCJ) form.

9. If the additional or alternative qualifications include licensure or certifications the applicants must submit the appropriate qualifying documents.

10. After the TCC and TCJ (if required) forms are reviewed and approved within the College verifying that the applicant new hire meets the credentialing requirements, these forms become part of the institution’s official administrative records. These records are placed in the faculty person’s Standard Personnel File as required by Administrative Regulation 2:1. Approval is noted by the department chair, director and college dean; then the
paperwork is sent to the Office of the Provost for review.

11. Upon review by the Provost, the applicant is approved and appropriate details are submitted to the University Board of Trustees.

12. Official transcripts are scanned and linked to the official document repository system. See Appendix F: Document scanning requirements and procedures.

Note that non-faculty employees (staff) teaching those courses which are exceptions to the faculty appointment policy are also entered into the FDB to capture the degree and other qualification data. However these individuals do not go through an appointment process.
Course Level Verification at Time of Assigning Teaching Responsibility

Each semester, "course level" credential checks are performed, per the Associate Provost for Faculty Advancement annual calendar of FDB activities. This calendar is regularly distributed at the beginning of fall semester. Key contacts within each college will receive a monthly reminder from the Provost Office, to make these credential checks. The process is as follows:

1. Official course descriptions approved by the faculty and housed in the Student Life Cycle Management (SLCM) system are imported into the FDB.

2. Instructor-course assignment data is imported into the FDB from SLCM. See Appendix G: Faculty Course Level Qualifications List Screen.

3. Using official course descriptions, the department chairs document the graduate degree discipline(s) required to teach the course, by assigning one or more CIP codes at the 2, 4, or 6-digit level. If the course content is of a particularly specific nature that cannot be classified exactly by the CIP taxonomy, the closest CIP code should be coded and the course flagged as always requiring a justification to describe the additional qualifications of the instructor. See Appendix H: Faculty Course Level Detail Screen.

4. Once associated with a course, in most cases the CIP code assignments are rolled forward each semester. Courses where sections have sub-titles and therefore potentially varied content require CIP assignments each semester.

5. Instructor degree/concentration disciplines and the degree level are evaluated per the SACSCOC guidelines for each course assignment. The degree is compared to the course level (graduate or undergraduate) and the course disciplines assigned by the chairs. The FDB issues "validation status" messages when the degree credentials do not meet the guidelines. The department is prompted within the FDB to document additional qualifications reflecting the judgment of the department chair. Once documented for a particular instructor-course pairing, most additional qualification data is rolled forward each semester.

6. Instructor “appointment status” or the graduate teaching assistant “type” is assessed within the FDB, prompting departments when instructors do not have an academic appointment effective in the session, or when the apparent TA role per the SLCM system does not match the planned TA type on the Graduate Student Academic Staff hiring contract.

Detailed information on how the FDB Credentials Module works to assist in managing and monitoring faculty credentials and teaching assignments is available in the Faculty Database Credentials User Manual. (Contact the Faculty Coordinator for a PDF copy of the manual, which is not available via link at this time.)
Process for Evaluating Teaching Assistant Qualifications at time of Hiring

The University of Kentucky maintains a comprehensive program to facilitate the effective use of graduate student teaching assistants (TAs) in helping to fulfill the University teaching mission. The Provost's Policy on TA Types and Teaching Credentials sets forth the teaching qualifications of TAs and other support requirements for departments using graduate students as TAs. Details of the policy are located at the Graduate School website.

http://gradschool.uky.edu/ta-types-teaching-credentials

To support workflow and oversight activities associated with implementation of the Provost's TA policy, the Graduate School implemented the Teaching Assistant Credentials Database (TADB), a module within the Faculty Database (FDB). In the TADB, the Graduate School documents TA orientation attendance, language screening scores and other requirements. The primary users of the TADB in the colleges are the directors of graduate studies and staff designees.

1. Each semester departments (or programs within the departments) enter the Graduate Student Academic Staff (GSAS) contract, into the Graduate School database. This is the hiring contract that indicates the TA’s assignment, type (role in the classroom), duties, and performance expectations for the term. The contract data is imported daily into the TADB for credential review. See Appendix I: GSAS Contract.

2. Departments update the TADB each semester to enter the teaching area discipline CIP code for each GSAS contract and to enter the graduate degrees held by the TA. Only degrees earned from external institutions and required to support the teaching assignment are entered. UK degrees awarded and UK enrollment data are imported from the Student Life-Cycle Management (SLCM) system. See Appendix J: TADB TA Assignment Detail Screen.

3. For TAs in autonomous teaching roles, official transcripts are required for the completed graduate degree or for the successfully completed graduate credit hours supporting the teaching assignment. Transcripts for UK degrees are provided directly to the Graduate School by the Office of the Registrar. Similar to the faculty procedure, official transcripts are scanned and linked to the official document repository system. See Appendix F: for additional information on scanning requirements and procedures.

4. The TADB issues “validation messages” based on the GSAS contract data and the requirements of the TA Policy. When a TA does not meet the policy requirements, special approval of the Dean of the Graduate School is obtained by entering a justification into the TADB. Graduate School academic administrators (the dean or associate deans or other academic director) routinely checks the TADB to review exception requests. If the exception is not approved, the department must assign a different qualified instructor or arrange for additional faculty supervision depending on the TA role. See Appendix K: TADB TA Assignment Detail Screen with validation messages.
5. The TADB also issues “validation messages” based on actual teaching assignments imported from SLCM. These validations insure that the credentials are evaluated for the actual role the TA is assigned in the classroom. In addition, students without the GSAS contract are identified, for approval by the Dean of the Graduate School. *See Appendix L: TADB TA Assignments and Qualifications List Screen.*

Detailed information on how the TADB works to assist in managing and monitoring TA credentials and teaching assignments is available in the TA Database User Manual. (Contact the Faculty Coordinator for a PDF copy of the manual, which is not available by link.)
Appendix A: FDB Degree Detail Screen with concentration entry.

Degree detail information entered by departments.

Multiple disciplines can be specified per degree. The primary discipline reflects the overall discipline of the degree. The concentration discipline describes 18 hours or more of coursework in a particular area.
Appendix B: FDB Program Level Qualifications Detail Screen

For program level check, the department indicates up to 3 teaching areas.

The department indicates the teaching level, and the FDB then determines if the instructor has the appropriate graduate degree by comparing degree CIPs with teaching area CIP (or related CIPS).
Appendix C: Teaching Credential Certification (TCC) form

UNIVERSITY OF KENTUCKY
TEACHING CREDENTIALS CERTIFICATION FORM - FACULTY

NAME: ___________________________ Dept: ___________________________

PRIMARY TEACHING AREA:

<table>
<thead>
<tr>
<th>Course Levels</th>
<th>Graduate Hours in area/related area</th>
<th>Justification Form Required</th>
</tr>
</thead>
</table>

SECONDARY TEACHING AREA:

<table>
<thead>
<tr>
<th>Course Levels</th>
<th>Graduate Hours in area/related area</th>
<th>Justification Form Required</th>
</tr>
</thead>
</table>

TERTIARY TEACHING AREA:

<table>
<thead>
<tr>
<th>Course Levels</th>
<th>Graduate Hours in area/related area</th>
<th>Justification Form Required</th>
</tr>
</thead>
</table>

For all faculty, part-time and temporary instructors, and lecturers, please supply the information requested below:

<table>
<thead>
<tr>
<th>Relevant Degrees Earned</th>
<th>terminal degree in the field</th>
<th>Institution Awarding Degree</th>
<th>Institution State</th>
<th>Year Degree Awarded</th>
<th>Discipline of Degree</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

CERTIFICATION:

Does this individual meet the SACS credentials criteria for his/her teaching assignment(s)? □ Yes □ No If no, then complete the Teaching Credentials Justification Form and submit to the Provost for approval before the teaching assignment begins.

SIGNATURE OF THE DEPARTMENT OFFICIAL CERTIFYING CORRECT INFORMATION:

Signature: ___________________________ Date: ___________________________

Department: ___________________________ Title: ___________________________
Appendix D:  FDB Program Level Qualifications List Screen
Appendix E: Teaching Credential Justification (TCJ) form

UNIVERSITY OF KENTUCKY
Teaching Credentials Justification Form

Faculty Name:
Appointment Unit:
Teaching Discipline:

For employment as a faculty member at the University of Kentucky, it is necessary to demonstrate compliance with the SACS credentials requirements. In exceptional cases, outstanding professional experience and demonstrated contributions to the teaching discipline may be presented in lieu of formal academic preparation. When this occurs, it is the responsibility of the institution to justify the employment of such individuals by considering competence, effectiveness, and capacity, including work experiences in the field, professional licensure and certifications, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. Please supply the information below for each individual in your department who does not meet the SACS credentials requirements and attach it to the Teaching Credentials Certification Form.

1. Work Experience

2. Licensure and Certifications

3. Honors and Awards

4. Excellence in Teaching

5. Professional Activities

6. Publications

7. Additional Justifications
Appendix F  Document scanning requirements and procedures

Faculty Transcripts

Hard copy versions of the official transcript are stored in the faculty person’s Standard Personnel File housed in the colleges. In order to provide electronically accessible PDF versions of the transcripts for SACS reviewers, the University implemented a digital imaging procedure to capture transcripts for instructors on the 2011-2012 Faculty Roster.

After the 2013 SACS reaccreditation is complete, transcript scanning and storage on a central server will resume with new steps to incorporate in the new hire process. The University is implementing an enterprise content management system. It is anticipated that this system will be used, along with integration with the Faculty Database or SAP to associate transcripts with the degree credential.
Appendix G: Faculty Course Level Qualifications List Screen

![Image of Faculty Course Level Qualifications List Screen]

The validation status identifies assignments where additional credential documentation may be required. Warnings indicate possible non-compliance; Errors indicate missing data.

**Instructor-course pairings are listed for department review.**
Appendix H: Faculty Course Level Qualifications Detail Screen

Faculty Name: Dept. Political Science

Course Details:

Course: AAS 471
Title: RACE, ETHNICITY, POLITIC
Offered By: AS Arts and Sciences

3100026 Arts and

Compliance status indicator (the

EJ SubTopic course 10 Sub-t “Validation Status”) indicating that a justification is required and

Validation: Status: Warning
Justification Required? Status: Needed

Warning: Undergraduate level teaching requires doctorate or master's in course discipline or master's w/18 graduate credit hours in discipline.

Course Level: 300-400

Course Code: 05. 0201 African-American/Black Studies
05. 0299 Ethnic, Cultural Minority, Gender, and Group Studies, Other

Education Degrees:

- 2009: Awarded Doctor of Philosophy, Cornell University
- 2007: Master of Arts, Cornell University
- 2002: Awarded Bachelor of Arts, Univ Of San Diego

Additional information:

- An examination of the role that race will explore the nature of race, racism, and ethnocentrism, as well as their impact on political institutions and elections, public opinion, mass media and social movements in the United States.

- Educational Degrees:
  - 2009: Awarded Doctor of Philosophy, Cornell University
  - 2007: Master of Arts, Cornell University
  - 2002: Awarded Bachelor of Arts, Univ Of San Diego

- Academic Appointments:
  - Political Science: NA

- Disc No.1: 45.1001
Appendix I: Teaching Assistant GSAS Contract

Notice Of Appointment of Graduate Student Academic Staff (GSAS)
Appendix J:  TADB TA Assignment Detail Screen – Credential tab

<table>
<thead>
<tr>
<th>Year Ended</th>
<th>Degree Earned</th>
<th>Status</th>
<th>Degree</th>
<th>School</th>
<th>Term Code</th>
<th>Credit Hours</th>
<th>Type</th>
<th>Validation Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011 Fall</td>
<td>In Progress</td>
<td>Enrolled - Graduate, Doctoral, UK</td>
<td>Univ Of Kentucky</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No Warnings or Errors found.</td>
</tr>
<tr>
<td>2011 Spring</td>
<td>In Progress</td>
<td>Enrolled - Graduate, Doctoral, UK</td>
<td>Univ Of Kentucky</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No Warnings or Errors found.</td>
</tr>
<tr>
<td>2010 Fall</td>
<td>In Progress</td>
<td>Enrolled - Graduate, Doctoral, UK</td>
<td>Univ Of Kentucky</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No Warnings or Errors found.</td>
</tr>
<tr>
<td>2010 Spring</td>
<td>Awarded</td>
<td>Master of Arts</td>
<td>Univ Of Guelph</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No Warnings or Errors found.</td>
</tr>
</tbody>
</table>
Appendix K: TADB TA Assignment Detail Screen – Validation Messages

Message from the TADB, alerting the department that the TA does not meet the Provost's TA Policy for type-1 assignment for the GSAS contract level, in German teaching area. Teaching area, TA-type and number of graduate hours are also highlighted in yellow.

<table>
<thead>
<tr>
<th>Type</th>
<th>No.</th>
<th>Validation Message</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>053</td>
<td>GSAS Assignment Level: Type 1 requires graduate degree in area or 18+ graduate hours in teaching area (or approved DIRECTLY RELATED area)</td>
</tr>
</tbody>
</table>
Appendix L: TADB TA Assignments and Qualifications List Screen

Warning entry status identifies TAs who do not meet the Provost’s Policy and need permission of Dean of Graduate school. Additional qualifications or special circumstances explained via justification form.