COLLEGE OF DESIGN

FACULTY STANDARDS, POLICIES, AND PROCEDURES RELATING TO DISTRIBUTION OF EFFORT, PERFORMANCE REVIEW, AND PROMOTION AND TENURE

1. 0. GENERAL DEFINITIONS

These definitions provide general guidelines for the work carried out by the faculty and administrators of the College of Design. They are intended to provide standards and explanations that supplement the University of Kentucky Administrative Regulations (cited as AR) and the University Faculty Handbook (cited as FH). Based on these guidelines, the Administrative Regulations (AR), and the University Faculty Handbook (FH), the Status of Faculty Committees at the program and College levels evaluate faculty for the purposes of performance review and appointment, promotion, and tenure, as described in Section 3: Performance Review, and Section 4: Appointment, Promotion, and Tenure of this document.

All faculty members have the responsibility, in consultation with their Director or Chair, to determine the type of work and the specific activities which are to constitute their individual efforts and output within the general definitions of teaching, research/creative work, and service. Faculty members have the additional responsibility to document the character, priorities, quality and significance of their work relative to the definitions established in this document. This work may be performed in College offices, classrooms, studios, meeting rooms, laboratories, workshops, campus libraries, public libraries, field work or teaching sites, home offices, professional or public meeting sites, and any other places where teaching, advising, research/creative work, and professional development are undertaken or carried out. Collaborative work should be explicitly defined based on the percentage of effort each member of the collaborative team has performed.

1. 1. TEACHING AND ADVISING

Teaching in the College of Design enables students to gain skills in, and understanding of the media, processes, techniques, histories, and interdisciplinary relationships that comprise work in architecture, interior design, and historic preservation. Teaching in the College of Design ultimately seeks to develop skills, creative insight and critical judgment in these fields of study.

All faculty members must have an area of expertise within their discipline and through the process of teaching and advising be able to relate that expertise to the College's academic programs as well as to the practice of architecture, interior design, and historic preservation. Teaching and research/creative work should be interrelated and faculty members should demonstrate the integration of their research/creative work into the material presented to students. Furthermore, individual success in facilitating students in their pursuit of learning, and stimulating students' curiosity and intellectual development, especially as it relates to creative work, is highly valued in the College of Design. Teaching effectiveness is assessed in a variety of ways and normally includes a faculty peer assessment of the teaching portfolio, evidence of research/creative work in a faculty member's dossier, a list of service contributions, standardized student evaluations, and additional examples of student performance.

At this time, formal advising within the College is assigned to specific architecture and interior design faculty. The Chair of Historic Preservation does formal advising for graduate students in historic preservation. Informal mentoring and career counseling of students are normal and expected practices for all full-time faculty members.

1. 2. RESEARCH AND CREATIVE WORK

Research and creative work is associated with making new things, discovering how things work, understanding what happened, and revealing what things mean. Faculty members at all ranks must show evidence of continuing research and/or creative activity

in their particular fields, commensurate with the rigorous expectations characteristic of the University's status as a national public research, land grant institution. Normally, peer-reviewed publications in a form considered appropriate by academic and professional peers for each faculty member's field of activity or sub-discipline will constitute this body of scholarly work. The products of one's research/creative work program will be evaluated for quality, originality, and significance as a contribution to the larger body of work of which it is a part.

In activities such as design, scholarly publication as defined in this document may be achieved in modes slightly different from those of the sciences, social sciences, and book-based disciplines in the humanities such as history. However, communication with an audience of peers constitutes the minimum expected product of a research/creative work effort. Presentations to student populations normally should be considered teaching; presentations to clients or lay audiences normally should be considered service. Depending upon the faculty member's sub-discipline, an "audience of peers" may be defined differently and may change with each type of project or group of projects. The value of a research/creative work effort is determined by the extent to which the faculty member's work affects or influences peers engaged in similar or related projects. In the final analysis, faculty members must establish the originality and significance of their work before an audience of their peers.

Texts, projects (built, un-built, commissioned or not), exhibitions, lectures and conference/symposia presentations, competition entries, and sponsored research, are examples of research/creative work, when presented to an audience of professional peers. Hierarchies among venues can be assessed according to quality levels of audience, levels of accessibility, and expected longevity. Published works are the most highly valued because they remain as permanent contributions to the profession. "Published" means made accessible in a format which is permanent, easily located, and retrievable over time. Original work is valued more highly than reviews or summaries of existing material. However, reviews of original projects, competition entries, or exhibition material are highly valued. Competition honors and other research/creative work which is honored by

peer review, and sponsored research are important indications of the value and influence of faculty work. Materials focused on pedagogy also are considered research, and are valued and encouraged.

In cases of annual and biennial performance reviews, and in cases of promotion and tenure decisions, it is the responsibility of faculty members to explain and verify the significance and influence of their research/creative work. Faculty members must identify the peer audience to which they have addressed their work, and the significance of the venue where the work was presented. Evaluation of the work and the various venues by individual faculty and faculty committees, and external peer letters in the case of promotion and tenure, will assist the Director or Chair in determining the value of the research effort.

Venues will differ in scope as well as in kind. National and/or international publications will indicate the highest achievement. Work selected by a blind peer-review process is always highly valued. When blind peer review does not occur, the quality of the publication as a whole, the reputation of peers with or to whom one's work is presented, and the publication's influence on a given audience will be considered, and may suggest that a given publication is as significant as one that employs a blind peer-review process.

Since certain types of research/creative work require a longer period of development before publication than do others, evaluation should also be made of work in progress. Presentations of research/creative work at conferences and colloquia, particularly at the national/international level, and grant applications, research proposals, and grant and publication acceptances, are valued as appropriate and significant milestones along the way to more permanent published work. A well-designed research/creative work program should have short, intermediate, and long-term objectives that correspond to work that would be presented periodically. A research agenda that creates opportunities for publications that appear on a regular, periodic schedule is encouraged.

1. 3. SERVICE

Service brings expertise in disciplines to the College and University, the profession, and the community. A service component is a normal and required part of a faculty member's obligation to the College, the University, the community, and to the profession and professional organizations. Service involves enrichment of the community and the primary motivation for it is not for profit. Service activities may include membership on College and University committees appropriate to the formation of educational policy and faculty governance, and traditional service engagements with outside individuals and groups, community organizations, and various professional organizations. These achievements, which are not and should not be part of the categories of teaching or research/creative work, are to be recognized as important professional service activities.

Effective participation in service activities is to be taken into consideration in the evaluation process, and faculty members are required to document their service activities. Faculty members must demonstrate and document the nature and quality of their service, its relationship to their expertise and role in the College, and the work's value and significance. Service activities will be evaluated with the same seriousness as teaching and research/creative work, and the same standards for documentation are required. Service must be recognized as positive evidence for promotion, provided that this service emanated from the special competence of the individual in his/her field and is an extension of his/her role as a scholar and teacher. Public service unrelated to this role does not constitute evidence for appointment, promotion, or a performance increase.

Assistant Professors should not be expected to undertake major service assignments on behalf of the College, the University, or the broader public community, unless with the express written permission of their Director or Chair, outlining the faculty member's specific responsibilities, and appropriate documentation in the Distribution of Effort agreement.

1. 4. PRACTICE AND CONSULTING

The active professional practice of architecture, interior design, and historic preservation is highly valued by the College, because it can enhance the teaching, research, and service of the faculty so engaged. A faculty member may undertake to practice individually, within a firm, or as a consultant. In certain situations, and depending upon the audience, practice/consulting activities may constitute teaching or service, and be considered under those categories in the DOE. If the practice/consulting activity is considered to be research/creative work, and is claimed under that DOE category, the same requirements for peer evaluation, originality, and significance that are required for research/creative work in 1.2 above will apply. If the result of practice/consulting is research/creative work, the audience is not students or a client or lay audience, but the objective professional peer group cited above for research. In no instance can the effort of an activity be claimed twice; however, it may be split among categories, or shift from one to another over time.

Professional practice/consulting activities that fall outside of the University Distribution of Effort agreement are regulated by the Administrative Regulations on consulting and overload (AR II-1.1-7; see also FH 55, 64, 67-68). These specify that during a nine-month contract, the maximum number of days absent from the University is 39, as agreed upon contractually between the faculty member, the Director or Chair, and the Dean of the College. Professional activities that are not considered to be research, teaching, or service by the faculty member will not be assessed as part of any performance or tenure/promotion evaluation.

2. 0. FACULTY WORK ASSIGNMENTS AND THE DISTRIBUTION OF EFFORT (DOE)

Effective and fair distribution of the College's faculty work loads is based on clear and accurate agreed-upon standards regarding responsibilities and expectations. Such standards are critical, and are established to give appropriate weight to various work

activities within the College for all faculty members. These standards are established in conformity with the University requirements and in relation to the standards of the other colleges within our Area Committee: Fine Arts and Arts and Humanities.

When the DOE reflects a 100% teaching load, a full-time tenured or tenure-track faculty member, both regular and special title series, will teach the equivalent to 12 credit hours of seminar/lecture/studio teaching per semester (FH 28), or 24 credit hours per year. The semester consists of the time period from approximately August 16 to December 23, and from January 3 to May 15, or 18 weeks per semester.

DOEs are flexible instruments that encourage and support the diverse talents of the faculty. All full-time faculty members are required to create a yearly Distribution of Effort agreement, with exact percentages adding up to 100% for the academic year, reached in accordance with the University and College standards in this document, and in agreement with the Director or Chair. The Director or Chair will meet individually with each faculty member to discuss proposed activities, and to coordinate these activities with the needs of the College. Faculty members, in consultation with the Director or Chair, will determine the direction and amount of their effort in each area (teaching, research/creative work, and service, and administration and professional development), according to their talents and interests, and in relation to the College's needs, responsibilities, and overall mission. This may result in some faculty members having high percentages of teaching, and little research or service, while others may have the reverse. However, in establishing the DOE percentages, faculty and the Director or Chair should be aware that evidence of continuous, significant participation and high performance, particularly in teaching and in research/creative work at the national level, will be required by the College and University for promotion (FH 29). Special Title faculty members will be evaluated according to their job description. Full-time tenured and tenure-track faculty should be aware that it is the research/creative work output that most greatly influences the promotion assessment and final decision. If regular title faculty members devote a majority of their time to teaching and/or service, promotion chances may be jeopardized.

For College of Design faculty to be successful in the University system, standard DOE percentages for regular title series faculty, Associate and Professor levels, should match those in the College of Fine Arts (teaching 50%, research/creative work 40%, service 10%), or the College of Arts and Sciences (45%, 45%, 10%). Assistant Professors normally should have only 5% service, and thus 5% more research/creative work. Deviations from these standards require a written statement from the Director or Chair, outlining the specific responsibilities and reasons for the deviation. Special titles series percentages may vary significantly from these guidelines, because they are established according to the specifics of individual contracts.

The Distribution of Effort form requires faculty to record the number of hours worked per week in the context of the required University and College norms for a full workload. Faculty members may increase or decrease their hours worked per week in order to accomplish their professional tasks and responsibilities. The DOE percentages established here for various teaching assignments may not be increased or decreased on individual DOEs, unless with written explanation from the Director or Chair as explained above.

Because faculty members are normally on nine-month contracts and are paid for nine months of work, the DOE reflects a nine-month work assignment. Summer teaching, research/creative work, and service do not affect the DOE. However, it is often the case that summer hours spent on these activities contribute to the production of important work, and to the faculty member's positive growth, evaluation, and potential promotion. Results of summer activities that meet the College's definitions and standards therefore would be included in the faculty member's vita, portfolios, and evaluation dossier.

The foundation for individual assessment is set by the DOE, as a legally binding contract with the College and University, according to the percentages recorded which are required to accurately reflect the individual efforts of the faculty member. The importance each set of activities carries in promotion/tenure evaluations (FH 58) and in the performance assessment is reflected in the DOE percentages. It is the responsibility

of all faculty members individually to keep their yearly DOEs updated as necessary, notifying and/or receiving written explanations from the Director or Chair, and filing any revisions of percentages during the year as assignments are changed or modified.

2. 1. TEACHING AND ADVISING DOE PERCENTAGES

In the College of Design, studio, lecture, and seminar teaching are variably structured. Because teaching workload varies according to class size and amount and nature of teaching/grading assistance, a measure of workload comparability to that set out in the University's Administrative Regulations has been devised. In the College of Design, the effort required per semester to teach two, three-credit-hour large (lecture) courses and two small (seminar) courses (total 12 credit hours) at the undergraduate level would be equivalent to a 100% workload for that semester. The amount of effort contributed by each full-time faculty member toward the College mission during one semester will be equivalent to these 12 credit hours of teaching. However, because regular-title series faculty members normally have three major components to their DOE (teaching, research/creative work, and service), each faculty member's workload as recorded in the DOE will be slightly different, as determined by equivalencies of effort as outlined below.

Standardized College annual DOE percentages for teaching, per semester-long courses based on the University full-time teaching load standard of 24 hours per academic year follow:

- 5 or 6 credit-hour studio: 25% per academic year
- 3 credit hour undergraduate course with fewer than 34 students: 12.5% per academic year
- 3 credit hour graduate course with fewer than 34 students: 15% per academic year
- 3 credit hour undergraduate course with 35 to 50 students: 15% per academic year
- 3 credit hour undergraduate course with 51 to 84 students: 17.5% per academic year

- 3 credit hour undergraduate course with 85 or more students: 20% per academic year
- For each primary thesis advisee: 2% per academic year
- For each secondary thesis advisee: 1% per academic year
- For Student Advising: 1% for every 10 students
- For other teaching, advising, and service: average hours per 18 week semester divided by 50 will give an approximation of the appropriate DOE percentage per semester
- For new course development, an appropriate percentage may be negotiated

2. 2. RESEARCH AND CREATIVE WORK DOE PERCENTAGES

With an allocation of 40% to 45% to research/creative work during the academic year, published articles, significance and originality in the sub-discipline with an audience of peers at the national or international level would be expected at the rate of two for every three years. In creative work that falls outside the book-based norms, winning competition entries, published projects/exhibitions/designs/proposals, or sponsored research, of average length, significance, and originality in the sub-discipline, with an audience of peers at the national or international level, would be expected at the rate of two for every three years. A book would be assessed in terms of its equivalence to some specific number of articles. Book reviews, exhibition catalogue entries, and other editorial materials would be assessed at a lower level than the items listed above.

Successful grant applications provide evidence of important research/creative activity, and are strongly encouraged. However, these are not a substitute for the accomplishment of the tasks for which the grant is given. Thus grant writing is strongly encouraged and even expected, but its value for the DOE and assessment will be substantially less than the value given above for the completion and publication of material of similar significance and scope.

It is the faculty members' responsibility to explain to all of the assessing bodies and the Director or Chair the significance and merit of each of their research/creative work activities by submitting a research/creative work portfolio. Each faculty member's research/creative work portfolio must include full documentation of completed and in-progress work. In addition, the portfolio must include a resume describing the content of the research, the extent of its presentation to peers, and published reviews of the work.

Work will be assessed in a hierarchy, with presentation to an objective peer audience as an expected minimum. Work that is presented verbally is not as valuable as work that is printed or published. Therefore, conference and symposia presentations are encouraged and valued as part of the development of research/creative work, but would be less important than a publication. Original work is more significant than an analysis of someone else's material (i.e. in textbooks, dictionaries, encyclopedia, or book reviews.) For creative work, reviews of original work by others are as significant as articles authored by the designer. A wider and more significant audience is expected for upper-level faculty than for Assistant Professors.

2. 3. SERVICE DOE PERCENTAGES

Service should be balanced among University, College, and School obligations, regional and national professional organizations, and community organizations. Membership on three committees, chairing one of them, is the maximum recommended in committee service, and this would usually total about 4%-5% on the DOE per year. Variations in the percentages of effort required among various committees are normal, and may also change from year to year. The Dean, Director or Chair should strive to spread this load equitably among all faculty based on rank.

2. 4. ADMINISTRATION, PROFESSIONAL DEVELOPMENT AND OTHER DOE PERCENTAGES

Administration and other DOE percentages should be calculated and assessed in relation to the standards set for other categories. Specific duties and expectations should be determined in consultation with the Director or Chair, and approved in writing. Administrative work as a Director of Graduate Studies has a 12.5% DOE value per year. Professional development includes those activities that provide faculty members with opportunities for increasing their professional growth and development with the primary benefit going to the individual and then to the University. Examples of such activities include participation in professional organizations, meetings, and conferences; in-service faculty education, retreats, and sabbatical leave; continuing education for both credit and noncredit purposes; and other scholarly faculty activities that are not reported as effort under Service. This category excludes civic, religious, social, political, and other such activities in which faculty might participate as citizens.

3. 0. PERFORMANCE REVIEW

Performance Review is based on the faculty member's DOE percentage allocation to teaching, research, and service and on a set of expectations for achievement in each of these three areas. Each faculty member will confer with his or her Director or Chair annually to determine DOE percentage allocations and to agree jointly on expectations. Each faculty member will compose a letter to his or her Director or Chair that summarizes the agreed upon expectations. At the end of the year before performance evaluations begin, each faculty member will evaluate in a letter to the Director or Chair the previous set of annual or biannual expectations and discuss how and why those expectations were exceeded, met, or not met in the faculty member's opinion.

All teaching, research/creative work, and service activities assume a standard effort for each activity. The quantity of each individual's performance is judged in relation to that College-wide standard described paragraph 2.1 of this document. DOE percentages may not vary from the University and College standards.

The quality of a faculty member's efforts is based on a College-wide standard of expectations for teaching, research/creative work, and service, and rendered through a five-point scale of achievement for each of the three responsibilities, which is multiplied by the DOE percentage allocated to each of the responsibilities and then added together to reach an overall evaluation . A faculty member's effort may

- consistently exceed expectations in all areas of the responsibility (5),
- exceed expectations in some areas of the responsibility (4),
- meet expectations (3),
- fall below expectations in some areas of the responsibility (2), or
- fall below expectations in all areas of the responsibility (1).

As an example, a faculty member might achieve an evaluation of 4 for the teaching responsibility, 3 for the research/creative work responsibility, and a 5 for the service responsibility. A DOE percentage allocation of 50% for teaching yields a value of 2. A DOE percentage allocation of 45% for research/creative work yields a value of 1.35. A DOE percentage allocation of 5% for service yields a value of .25. These values add to 3.60 or an effort that mathematically falls between "meets expectations" and "exceeds expectations in some aspects."

Faculty members must meet expectations (3) to achieve a satisfactory Performance Review.

Documentation policies are critical for fair and effective evaluation. In order for all faculty members to be evaluated on an equal basis, it is necessary that all faculty members promptly submit a dossier analyzing and concisely documenting the best examples of their teaching, research/creative work, and service for each required Performance Review. In addition, the dossier should include a complete long-form CV with activities for the evaluation period highlighted, and the Performance Review Form provided by the College of Design. Failure to provide timely and/or appropriately complete documentation of activities will be construed as indifference to assessment, and no performance increase will be given in those cases for that time period. Exceptions to these requirements may be made for periods of unpaid leave of absence, illness, and family emergencies.

4. 0. APPOINTMENT, PROMOTION, AND TENURE

Tenured faculty members in their respective schools and department are required to comment on prospective new appointees, including assistant professors, part-time faculty, adjunct faculty and instructors. (Governing regulations VII.B.5 second paragraph, and AR II-1.0-1, page XV-1, and page II-1 section B.) For reappointment, the program Status of Faculty Committee should evaluate candidates according to the terms of their contracts.

The College faculty considers meeting expectations to be the standard for appointment, reappointment, promotion, and/or tenure in as a regular and special title series position. The relative weight given to these activities depends upon the faculty member's prior and/or anticipated Distribution of Effort, specialty, and job description. Evaluations will be conducted by specialists in the disciplines and sub-disciplines from both inside and outside the University of Kentucky.

To be promoted faculty members must have demonstrated superior attainment in their area of expertise, as outlined below, as well as steady and continuous development which will foreshadow future superior levels of performance.

4. 1. EVALUATION CRITERIA AND PROCEDURES FOR TENURE AND TENURE-TRACK FACULTY, SPECIAL AND REGULAR TITLE SERIES

4. 1. 1. ASSISTANT PROFESSOR

To be appointed as an Assistant Professor in the College of Design, candidates should have received the terminal degree appropriate to their field. Appointment or promotion to the rank of assistant professor should be made when an individual is determined to have a current capability for quality teaching, an established research/creative work agenda, and a potential for significant growth in these areas, especially in

research/creative work. College administrators should require little intra- or extra-mural service of Assistant Professors. Rather, the bulk of their workload should be dedicated to the establishment of a research/creative work program, and teaching.

4. 1. 2. ASSOCIATE PROFESSOR

Promotion to the rank of Associate Professor with tenure should be made only after the faculty member has established a record of continuous improvement and contribution as a teacher, has created a significant scholarly/creative work record of achievement, and has evidenced promise of continued, sustained productivity. To merit promotion and tenure the individual should have earned national recognition for excellence in research/creative work. Evidence of appropriate service to the College, University, community, and profession is expected.

4. 1. 3. PROFESSOR

The research reputation of the University of Kentucky depends upon the work and reputation of its faculty. Research/creative work is of primary importance at the Professor rank in the Regular Title Series. Promotion to Professor is an indication that, in the opinion of colleagues and peers within and outside the University, the faculty member is an outstanding, intellectually mature scholar/artist who has earned national/international recognition for research/creative work. Excellence in teaching must also be demonstrated. It should be further stressed that this rank is recognition of scholarly/creative attainment rather than of length of employment. Superior service to the College, University, community, and the profession is expected and valued.

4. 2. NOMINATION AND REVIEW PROCESS FOR PROMOTIONS

4. 2. 1. TWO-YEAR AND FOUR-YEAR REVIEWS

These reviews are organized in the same manner as the Promotion Review, but without the outside referees.

4. 2. 2. FACULTY UNDER CONSIDERATION FOR PROMOTION AND TENURE

All faculty members being considered for promotion—to Associate Professor with tenure or to Professor—must submit a Promotion Dossier to the Director or Chair. A carefully edited dossier should contain the following materials: vita, copies of DOE forms for the period served since appointment or last promotion; annual or biennial performance evaluation forms since the previous promotion, or for Professor at least the previous 5 years; research portfolio, if applicable, which will include a personal statement outlining the faculty member's research program and philosophy of research/creative work. Copies of published work and other hard copy, web page addresses, electronic copy, photography, drawings, and other materials that illustrate one's accomplishments will be included, if necessary and with the Director or Chair's approval. Also required will be a teaching portfolio that will contain a personal statement outlining the faculty member's teaching philosophy, list and description of courses taught, examples of course syllabi, course handouts and other course materials, teaching evaluations including both standardized evaluation summaries and other class evaluation materials that the faculty member has obtained. Evaluation materials should be presented for at least each semester taught since initial appointment or the last promotion. Finally, the dossier should include a statement of service summarizing those service activities undertaken by the faculty member during the evaluation period as well as a statement about one's approach to service. The completed Promotion Dossier should be provided to the Director or Chair according to the Dean's and Provost's schedules for dossier submissions.

Each tenured faculty member in the candidate's program will review the Promotion Dossier and submit to the Director or Chair an evaluation letter on behalf of the candidate. Each tenure-track faculty member may provide an evaluation at his or her discretion. Non-tenure-track faculty members may also submit an evaluation letter on the request of the Chair or candidate. The letters should comment critically on all dossier materials and should conclude with a recommendation for or against promotion. The letters should also be written to acquaint the Status of Faculty Committees, the College Dean, the Area Committee, and the Provost with the standards for research, teaching, and service set for the candidate. The letters will therefore enable those from outside the College evaluating the dossier to understand the extent to which the candidate has met these standards. To this end, faculty letters must address teaching, research/creative work, if applicable, and service in detail, and the significance of the contexts in which the candidate has worked and contributed (publications, conference, lecture and workshop venues, exhibition venues, granting agencies, project venues, etc.), the nature of the audience addressed by faculty work and why this audience should be considered as peers, as well as the work's content and value. Letters should also address the extent to which the candidate has successfully completed the work implicit in the assigned DOE.

4. 2. 3. REFEREES

Candidates for promotion have the option of recommending the names of at least three professional peers whose research/creative work is sufficiently parallel to that of the candidate so that the peer can write a knowledgeable letter evaluating the significance of the faculty member's contributions. The Director or Chair will request evaluation letters from a minimum of four peers, with five or six being strongly preferred, and half of which are independent of suggestions from the candidate. Each potential referee should be contacted early in the semester when the Promotion Dossier is to be assembled to assure that the referee is willing to participate in the review process, can evaluate the dossier, and can provide an evaluative letter in a timely manner. (AR II-1.0-1) Each referee will receive an abbreviated dossier of teaching, research, and service in the fall of the tenure or promotion year, and the directors' or chair's cover letter should ask the

referee to address all three faculty responsibilities. Each referee must explain his or her relationship to the candidate.

Referee's letters should provide an evaluation of the quality and quantity of the candidate's research/creative work and where appropriate, should comment upon the candidate's teaching and service records. The Director or Chair will obtain copies of the referees' CVs and include in the Promotion Dossier a section introducing the referees and commenting upon their qualifications to serve and provide expert evaluation, and whether or not the referee was suggested by the candidate or had been a mentor or colleague of the candidate previously. In turn, the faculty, the Status of Faculty Committees, Director or Chair, and the Dean should refer to the referees' letters and qualifications in crafting their own letters of evaluation.

Kentucky's Open Records Law specifies that candidates for promotion and tenure shall have access to letters in the Promotion Dossier upon formal request. Thus, the candidate and all letter writers should be informed of this option. If candidates wish to respond to dossier evaluation letters in writing they may have a limited time to do so. The candidate response letter shall then be included in the completed dossier that is forwarded to the Status of Faculty Committees, and the Dean.

4. 2. 4. THE DIRECTORS', CHAIR'S, AND DEAN'S RESPONSIBILITIES

The Directors of the Schools of Architecture and Interior Design and the Chair of the Department of Historic Preservation are responsible for initiating the promotion nomination process and carrying it through to completion. Tasks include, but are not limited to, the following: mentoring the faculty member's professional development, annual or biennial performance reviews, assignment of appropriate annual DOEs, and periodic discussions with faculty about requirements for promotion and tenure. The Dean's, Directors', and Chair's responsibility is to conduct annual and biannual reviews, discuss those reviews with their faculty, and to give suggestions for improvement. It is the Dean's, Directors', and Chair's responsibility to ensure that two- and four-year

reviews are conducted with untenured faculty in a timely manner and to share the findings of those reviews in writing with the candidate.

During the semester before the promotion candidate's record is to be evaluated—the sixth year for Assistant Professors, for example—the Director or Chair should discuss with the candidate the process of assembling a Promotion Dossier and obtain the names of three referees that the candidate believes would be appropriate to review the work. The Director or Chair will also monitor the assembly of appropriate dossier materials, will distribute them to referees and faculty for evaluation, and in the cover letter ask for an evaluation of teaching, research, and service. Faculty members shall have the opportunity to read the external letters before writing their own. Each candidate is responsible to assure that the dossier materials are available to the Director or Chair and the faculty for review in a timely manner according to the schedule set by the Status of Faculty Committees and the Director or Chair. After the program Status of Faculty Committee and Director or Chair have completed the evaluation, the dossier will be sent to the College Status of Faculty Committee for review and recommendation to the Dean. The Dean must write an evaluation letter to the Provost, making a recommendation and supporting or refuting points raised in the evaluation.

When the referees and faculty have submitted their evaluation letters to the Director or Chair, the Director or Chair will forward them to the program Status of Faculty Committee, which will consider and summarize the material and make a recommendation in a letter. The Director or Chair will then write a letter that evaluates the candidate based, in part, on a summary of the letters from the program Status of Faculty Committee, the faculty, and external reviewers. In summarizing and evaluating the external referee's responses to the dossier, the Director or Chair should discuss the qualifications of the external referees in the context of their professional sub-disciplines. The Director or Chair's letter should explain the College standards and expectations for faculty performance and the extent to which the candidate has met them. It should also provide an extended review of the candidate's research/creative work, teaching, service

and other relevant contributions to the College mission. The Director or Chair's letter should address any criticism or conflicting views in the program Status of Faculty Committee, referee, and faculty letters, and should provide a decisive recommendation for or against promotion and/or tenure. If this recommendation differs from that of the program Status of Faculty Committee, a full explanation must be provided.

4. 3. 5. FACULTY PROMOTION DOSSIER FORMAT

Promotion Dossiers should follow a clear checklist that includes all of the items and sections discussed above as provided for in AR II-1.0-1 dated 4/8/02 pages II 6-9. A standardized format, as represented by recent examples in the College of Design and other colleges, allows for a simplified assembly of materials, assures that all required dossier sections are included, and greatly simplifies reading and evaluating a dossier and its supporting documentation by the Status of Faculty Committees, the Director or Chair, and most importantly, by the Area Committee and Provost.

5.0 MENTORING

The College must carefully recruit, retain, and promote new faculty in order for the College to maintain and enhance its reputation, to attract, educate, and graduate high caliber students, and to advance design education and practice. The College must also encourage the continued professional development of its associate professors to enhance their teaching and research/creative work contributions to the College mission so that they will achieve promotion to professor. To this end it is critical that a College faculty mentoring program be continued and strengthened, and extended to include the mentoring of Associate Professors by Professors. The program Status of Faculty Committee will meet with all new tenure-track faculty members in the program at the beginning of their first semester to discuss mentoring and the promotion and tenure system. In addition to guidance provided by the Dean and the Directors or Chair, all untenured faculty members should be mentored carefully during the years before they are

considered for promotion. Mentoring can take several forms, but should include the assignment of one or more tenured faculty members to advise on various matters, such as time and effort management, teaching techniques, strategies for developing a research/creative work program with short, intermediate, and long-term objectives, tactics for planning creative work projects and their publication, and/or the publication of written work in appropriate venues, and so on. Faculty mentors should also discourage the expenditure of significant blocks of time by Assistant Professors in College- or University-related service activities. The Directors or Chair will help to identify and arrange for a mentor or mentors within the College to advise the faculty member. The mentor or mentors will help the faculty member make professional contacts and connections toward achieving professional recognition by national and international peers and achieving success in the promotion process. Mentors and faculty members should be mutually responsible for meeting regularly to review progress and professional development.

In addition, faculty members at all levels should seek out peers and more advanced faculty members in their discipline, on an informal basis, keeping them informed of activities and seeking advice as needed, and striving to create appropriate collegial relationships that strengthen the College as a whole.