

**Department of Health Services Management (HSM)  
College of Public Health  
University of Kentucky**

**RULES OF PROCEDURE**

**PART A**

**ROLE IN THE UNIVERSITY MISSIONS OF INSTRUCTION,  
RESEARCH AND SERVICE**

As a component of the UK College of Public Health, the Department of Health Services Management's role is to improve the organization and delivery of personal and public health services in Kentucky and beyond. This role is carried out through graduate education, health services research, and service by faculty and staff.

**I. Instruction**

The Department provides foundational courses for all concentrations in the MPH and Dr.PH degrees. It offers the following three degree programs:

-The mission of the MPH concentration in health services management is to provide graduates with critical competencies required for entry-level management and policy positions in the public health system and a solid foundation for leadership development in this sector.

-The mission of the MHA Program is to provide graduates with critical competencies required to succeed in post-graduate positions in hospitals, multi-unit health systems, and other complex health-related organizations and a solid foundation for future leadership roles.

-The mission of the Dr.PH concentration in health services management is to provide graduates with critical competencies required for positions in academic institutions, organizations and agencies that focus on health policy, and future leadership roles in the public and private sectors.

**II. Research**

The Department faculty conducts research on health services and systems in both the public and private sectors. Among the focus areas are health policy and economics, information systems, leadership and management, organization and delivery of services, and outcome measurement.

### **III. Service**

The Department provides service to the healthcare field through disseminating new knowledge and providing consultative assistance to public and private organizations.

### **IV. Vision and Values**

The Department's Vision is to achieve national recognition and respect by attracting and educating highly qualified students with diverse backgrounds who perform in an exceptional fashion in their post-graduate positions and by building strong, mutually supportive research and public service programs.

In all that it does, the Department honors the UK College of Public Health's Core Values: academic excellence, accountability, community engagement, democracy, educational opportunity, organizational cohesion, trans-disciplinary discovery, and integrity.

## **PART B**

### **RULES, PROCEDURES AND COMMITTEE STRUCTURE FOR EDUCATIONAL POLICY-MAKING**

#### **I. MEMBERSHIP, OFFICERS, AND VOTING**

##### **A. FACULTY MEMBERSHIP [DEFINITION]**

The Department of Health Services Management faculty [hereafter the "faculty"] is composed of:

1. Core faculty, i.e., the faculty employees in the tenure-eligible title series at or above the rank of Assistant Professor who have primary faculty appointments in the department.
2. Persons who have been given the privilege of department faculty membership by the Core faculty, including those holding research, adjunct, emeritus, joint, part-time, and voluntary appointments.

##### **B. DEPARTMENT CHAIR**

The department's administrative leadership is vested in the Chair. At the Chair's discretion, a Vice Chair may be appointed in consultation with the faculty and the Dean.

## C. VOTING MEMBERSHIP

The core faculty are automatically voting members (GR VII.A.6.(c)). In addition, the core faculty members have approved full voting privileges for [a]ll noncore faculty employees with appointments in the department of 50 percent or greater full-time equivalent (FTE) as determined by their Faculty Workload on matters of educational policy relating to any of the three mission areas of instruction, research and service. All other faculty employees are welcome to participate in faculty matters, but do not have a vote. There are no ex-officio members of the faculty.

All faculty of the department who possess the proper qualifications (GR VII.A.3.(a)) may also be eligible to serve as full or associate members of the faculty of the University of Kentucky Graduate School, following the rules of appointments to that body. The Chair recommends appointment of the Director(s) of Graduate Studies to the dean of the Graduate School after consultation with the members of the department's graduate program faculty.

## II. EDUCATIONAL POLICY MAKING BY THE FACULTY

A. Within the limits established by the *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, or the rules of the faculties of the college of which the department is a part, the department faculty has jurisdiction over matters concerning its educational policies on such matters as academic requirements; curricula development and revision; course offerings, schedules, and evaluation; the advising and supervision of M.P.H., M.H.A., Dr. P. H., and Ph.D. students; undergraduate, graduate and research programs; professional programs; and service functions (GR A.6.(c)).

B. Specific educational policy decisions concerning graduate programs are made by the vote of the members of the graduate faculty in the department. (GR VII.A.2)

C. The above matters of educational policy are normally introduced, discussed, and finalized as part of the regularly-scheduled faculty meetings.

D. Students shall participate in committees or sub-committees of the Department faculty as needed on the recommendation of the department Chair.

## III. COMMITTEE STRUCTURE CONCERNING EDUCATIONAL POLICY MAKING

All committees shall be constituted as committees of the whole unless the Chair appoints ad hoc subcommittees for the purpose of addressing specific, short-term issues.

#### **IV. FACULTY MEETINGS**

- A. Faculty meetings may be regular or specially called. The Chair or his/her designee presides over all faculty meetings.
- B. Faculty meetings will follow the established University guidelines regarding the Kentucky Open Meetings Law. Notice of meetings will be publicly posted at least 24 hours in advance.
- C. There will be regularly scheduled departmental faculty meetings on a quarterly basis.
- D. Special meetings may be called by the Chair as needed or requested. Any two voting members may request that the Chair call a special meeting by submitting the request in writing, briefly describing the issue(s) that the members wish to be placed on the agenda. The Chair shall call the meeting within a five to ten working day period.
- E. An agenda will be made available in advance of the meeting whenever possible and items may be modified by the voting faculty in attendance.
- F. A quorum shall be one-half of voting faculty members. Voting members are as noted in I.C above. Parliamentary procedure shall be in accordance with generally accepted procedures, relying upon Robert's Rules of Order, should there be differences of opinion as to procedure.
- G. A vote regarding a major new policy or a major policy change shall occur only at the meeting following the meeting where the proposed action is initially introduced.
- H. An absolute majority vote of the voting members present is decisive.
- I. Minutes will be recorded in the form of statements that summarize the discussion prompted by each agenda item and any final action on agenda items. Minutes will be circulated to all members of the faculty prior to the next regularly scheduled meeting. The minutes shall be approved or amended at the next regularly scheduled meeting. Minutes will be kept on file in the Chair's administrative office.

#### **V. FACULTY PROCEDURES—OTHER MATTERS**

- A. Establishing Rules in Section II: Departmental Faculty Rules are drafted and submitted to the faculty for review, amendment and approval at regular faculty meetings. After approval the Rules are submitted by the Chair to the Dean for approval for consistency with higher rules and regulations. Upon final approval by the Provost for consistency with higher rules and regulations, the Rules are

deposited with the Senate Council Office, with a copy maintained by the department and college.

B. Modification of the Rules: Revisions proposed by the Chair or members of the Faculty are brought before the faculty in the same manner as the establishment of rules.

C. Conflict Resolution: In case of conflict between these Rules of Procedure and University's Governing Regulations, Administrative Regulations, or University Senate Rules, in matters related to departmental faculty, the College's and University's rules and regulations supersede those of the department.

D. Department chairs will be periodically reviewed every four years in accordance with GR IX.3, and between periodic reviews shall be evaluated in accordance with College of Public Health procedures established by the Dean in consultation with college faculty (GR VII.A.4.(c)).



## PART C

### PROCEDURES FOR FACULTY PERSONNEL ACTIONS AND BUDGET REQUEST

#### I. FACULTY DEVELOPMENT PLANNING

A. Department Level. Department- level faculty planning shall be based on the Department's role, its vision for the future, its strategic priorities, and its core values. The planning process should:

1. Forecast faculty resources that will be required to properly support all of the Department's educational programs and its commitments in research and public service; and
2. Address how those resources will be secured. Faculty resource requirements – and how they will be met – must always be addressed when considering new initiatives.

B. Individual Level. The purpose of individual level faculty development planning is to enable successful career progression by all faculty members and, thereby enhance the Department's performance. Key elements of individual-level faculty development planning includes:

1. All core faculty members shall have a written career development plan that is prepared in collaboration with the Department Chair and is reviewed and updated, as needed, on an annual basis. The plan will be consistent with the faculty member's current terms of appointment and position description. Each plan will be unique, in recognition of the range of experience, interests, and seniority of the Department's core faculty members.
2. Each plan shall state the faculty member's career goals and the department's performance expectations for the faculty member in teaching, research, and service. To ensure clarity and facilitate success, the faculty member's goals and the department's performance expectations must be in harmony. These goals and performance expectations will be formulated with careful attention to the Department's current Evidence of Excellence Statements.
3. Especially for junior faculty members, the plan shall delineate the principal steps that will be taken by the faculty member and by the Department to facilitate attainment of the faculty member's goals and performance expectations. For example, to improve teaching skills, the plan may state that the faculty member will utilize the University of

Kentucky's faculty development resources and/or create team teaching arrangements with more experienced faculty or healthcare leaders in the practice community.

4. Each plan shall address mentorship opportunities and commitments. For junior faculty members, the Department Chair in concert with senior faculty or a small team of scholars may agree to establish a formal mentoring relationship.

5. All faculty development plans and faculty member's performance shall be reviewed annually.

## **II. PROCEDURES FOR PERFORMANCE REVIEW, APPOINTMENT, REAPPOINTMENT, PROMOTION AND TENURE**

A. Personnel actions regarding a faculty employee will follow the College and University Rules and Regulations regarding review of levels above that of the Department.

B. Appointment, Reappointment, Promotion and Tenure

1. All matters of faculty selection, progress review, reappointments, promotion, and tenure shall be handled by the faculty's review of a dossier regarding the candidate being considered.

2. Procedures and criteria used in preparing recommendations relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series shall include consultations with all tenured members of the department and with non-tenured full-time faculty (other than those holding temporary appointments) at or above the rank of the individual under consideration.

3. In all faculty personnel processes, each faculty member will be allowed to use his or her own judgment regarding an individual's dossier, but those judgments shall be guided by the Department's current Statement on Evidence of Excellence set out as Part D of this document.

4. At a minimum, each dossier will contain all documents required by Matrix II of Administrative Regulation 2:1-1, including but not limited to an updated curriculum vitae (solicited from the individual by the Chair for this specifically stated purpose) and, as necessary depending upon the action being taken, a suitable number of outside letters as well as internal recommendations from the consulted faculty members. For all tenure-track faculty appointed or promoted after the date of approval of the department's Statements on Evidence of Excellence document, tenure and promotion reviews shall be based on that written evidence. All letters for the dossier must be solicited from the writer by the Chair. Each faculty employee will have access to materials in his or her own file under the President's 1995 memorandum, without having to make a formal Open Records Act request.



5. The Department Chair is responsible for recommendations to the Dean on all faculty personnel actions.

### C. Performance Review and Tenure/Promotion Progress Review

1. The College of Public Health requires an annual updated CV for all tenured and non-tenured faculty, annual evaluations for all full-time non-tenured faculty, and biennial evaluations for all tenured faculty. The evaluations will be produced as required by the University's Governing Regulations, Administrative Regulations, and Provost's annual policy memo. The Chair will consult with all tenured faculty regarding evaluations of faculty at or below their rank.
2. The Department Chair can require additional evaluation and reviews on a faculty member as deemed necessary, e.g., annual review for non-tenured and periodic review of tenured faculty. Faculty members' evaluations are submitted by the Chair to the College of Public Health Dean for approval. Evaluations are maintained in faculty member's personnel file located in the Dean's office.
3. The Chair will discuss non-tenured faculty member performance with tenured faculty as part of the first through the fourth year tenure progress reviews. The Chair will notify the faculty member whose tenure progress is under review at least two months before the review is to take place, and will solicit a summary cover statement setting out relevant activities and achievements, an updated curriculum vitae, current course syllabi, and copies of all published or accepted manuscripts related to the period under review. The Chair will set a suitable deadline for completion of these documents and will distribute them to the other tenured faculty members at least one week before the scheduled review.
4. All specific input from tenured faculty for the first through the fourth year tenure progress reviews will remain confidential. The junior faculty may ask to present their input before the tenured faculty. The Chair will perform the evaluation considering all input from the faculty, then prepare and sign a document that summarizes the input of the tenured faculty as well as the Chair's own evaluation.
5. Faculty members shall be required to develop and complete a Distribution of Effort form on a yearly basis in collaboration with the College Business Office. The DOE form shall acknowledge each faculty member's activities in research, instructional, clinical, administrative, University service, professional development and non-sponsored activities and relate to their assigned appointment in the Department of Health Services Management. The DOE also will closely correlate with the activities which contribute toward salary.

6. Faculty are involved in academic matters on a regular basis, including, but not limited to, advising M.P.H., M.H.A., Dr.P.H., and Ph.D. students; revising and updating the curricula of the department; establishing class schedules, and overseeing appropriate evaluation of the courses they teach. These matters are introduced, discussed, and finalized as part of the regularly-scheduled faculty meetings.

#### D. Joint Faculty

Applicants for joint faculty appointments can be submitted by the Chair or faculty members. The committee will collectively judge the suitability of joint faculty appointments of the department. The Chair shall recommend joint appointments to the Dean.

#### E. Location of relevant documents

The following documents are located in the business office or Chair's administrative office.

- A. *Governing Regulations and Administrative Regulations*
- B. *University Senate Rules*
- C. Graduate Bulletin
- D. Rules of Procedure and Structure of Committees
- E. Personnel Policies and Procedures
- F. University of Kentucky Business Procedure Manual
- G. Departmental Staff Policies and Procedures
- H. Official faculty personnel files are housed in the CPH Dean's Office

### III. PROCEDURES FOR BUDGET REQUEST PREPARATION

A budget for the department shall be prepared and established in accordance with the College policy and procedure.

The Department's overall staffing plan and budget shall be reviewed with the faculty on at least an annual basis.

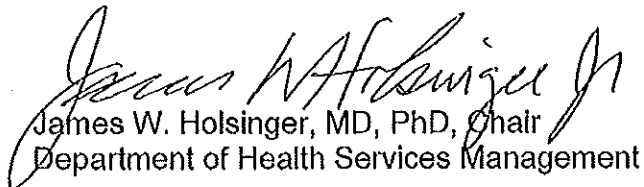
APPROVALS FOR PART C

Note: Governing Regulations require joint approval by Department Faculty and Department Chair, Approval by the Dean, and Approval by the Provost

Approval of Part C by Department Faculty:

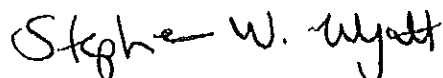
Enter Date of Faculty Vote to Jointly Approve                      June 11, 2012

Joint Approval of Part III by Department Chair:

  
James W. Holsinger, MD, PhD, Chair  
Department of Health Services Management

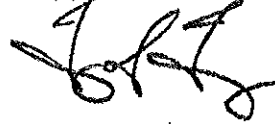
July 2, 2012

Approval of Part III by Dean

  
Stephen W. Wyatt, DMD, MPH  
Dean, College of Public Health

7/2/2012  
Date

Approval of Part III by Provost

  
Timothy S. Tracy, PhD  
Interim Provost

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Date

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Notes on Previous Reviews and Amendments

Reviewed and amended March 2012.

## PART D

### STATEMENT ON EVIDENCE OF EXCELLENCE

#### *REGULAR TITLE SERIES FACULTY AND JOINT APPOINTMENTS*

The Department of Health Services Management is committed to excellence in teaching, scholarly research, and service. To sustain this commitment, the department will maintain appropriate standards for assessing excellence and will mentor and monitor faculty to insure that these standards are being met. Faculty evaluation for promotion and tenure will be based upon a continuing record of effective and committed teaching, innovative scholarship, substantive research, and effective service. All faculty members are expected to maintain these standards of excellence throughout their employment at the University of Kentucky.

#### **Guidelines**

##### **Tenure and promotion to Associate Professor**

**Teaching:** The successful candidate for promotion to Associate Professor with tenure will demonstrate a record of excellent and effective teaching and capstone direction. Teaching expertise in both the small classroom or seminar setting and larger lectures is desirable, as are formal and informal advising. Teaching assessment will include a review of the candidate's quantitative and qualitative teaching evaluations conducted each semester and other student ratings and comments, and an evaluation of the faculty member's teaching portfolio. A portfolio should contain a teaching philosophy statement, course syllabi and materials, letters from current and former students, departmental-, college-, or university-level teaching awards, and other materials that may attest to the candidate's teaching effectiveness. Evidences of excellence in teaching include:

- (i) Teaching evaluations that consistently meet or exceed the college average at all levels, including seminar and larger lecture,
- (ii) Student driven nominations for teaching awards at the college and/or university levels
- (iii) Refereed teaching publications, preferably first authored
- (iv) Writing innovative teaching materials
- (v) Co-directing masters-level capstone committees that result in refereed publications or presentations
- (vi) Co-directing at least one DrPH capstone or doctoral dissertation
- (vii) Receiving external or competitive internal funding to support teaching/learning projects

**Research:** The successful candidate for promotion and tenure must demonstrate substantive, original, innovative intellectual contributions to scholarship through publication of research in appropriate venues and must demonstrate an ability to do collaborative research in a team setting. Scholarly accomplishment will be measured by

work published and, where appropriate, external funding. Scholarly journal papers, book chapters, and book manuscripts should be placed in high quality peer-reviewed outlets, those journals and presses generally regarded by colleagues in the faculty member's sub-discipline as top tier publications with regard to their selectivity, influence, and reputation for publishing innovative scholarship. While collaborative research with colleagues or students is encouraged, it is also important that one demonstrate scholarly independence and leadership. Multidisciplinary research and publication is expected, but such work should include, either within that publication or perhaps in a separate one, substantive contributions to the faculty member's own discipline. Generally, research work whose only publication outlet is in non-refereed proceedings and volumes or appears in low impact journals is of little value in a promotion dossier. Evaluation by external reviewers is required for the promotion dossier. Evidence of excellence in research includes:

- (i) First-authored manuscripts in high quality refereed journals
- (ii) Extramural funding to support scholarly research, preferably as principal investigator or lead co-investigator for the faculty member's discipline
- (iii) A substantive record of collaborative publications in high quality refereed journals, such as those resulting from funded collaborative projects
- (iv) Extramural funding to support collaborative research ; this portfolio should include participation in large research projects such as program project awards or research center core support
- (v) Awards and other formal acknowledgements by peers at regional and national levels
- (vi) Presentation of peer-reviewed and invited papers at international and national meetings

**Service:** The efficient and productive functioning of the department, college, university, and one's disciplinary organization is the product of collaborative effort by all unit members. Active and contributive service on departmental, college, and university committees as well as to academic organizations is expected and demonstrates of one's contribution to the academic community. Evidence of excellence includes:

- (i) Election to office in professional organizations at the regional and national level
- (ii) Membership on review panels for intramural and extramural funding agencies
- (iii) Regular reviewing of manuscripts in high quality journals
- (iv) Serving as program chair or in similar position at a regional or national meeting
- (v) Serving as consultant at the regional, national, or international level
- (vi) Contributing in a significant way toward improving disciplinary or public health practice

### **Promotion to Professor**

Promotion to Professor requires faculty members to be recognized by peers nationally and internationally as having achieved a distinguished research record in their chosen sub-discipline. They must continue to uphold the standards of productivity and

excellence in research that are expected for promotion and tenure. The prospect of future contributions will also be considered. They are expected to direct doctoral dissertations and to provide support for graduate students. Where appropriate, they are expected to contribute to curriculum development, innovative approaches to existing courses, or educational outreach. Published introductory textbooks are considered to be contributions to educational outreach and service to the professional community. A record of recent external funding is expected. They are expected to contribute significantly to the functioning of the department and provide a high level of service to the college, university, and the larger community, as well as their discipline. Evidence of excellence includes those listed above for promotion from the assistant professor level except where the bar for excellence has been raised below:

Teaching:

- (i) Direct doctoral dissertations that result in refereed publications
- (ii) Win a teaching award at the college or university level
- (iii) Author a textbook or equivalent teaching materials
- (iv) Write new, innovative curricula
- (v) Secure extramural funding to train or support graduate students

Research:

- (i) Establish a record of regular research funding to support scholarly research
- (ii) Direct an extramurally funded part of a large grant
- (iii) Secure multi-year extramural funding for a research center or institute
- (iv) Submit publications that are cited frequently

Service:

- (i) Election to a national or international office
- (ii) Associate editor of a high quality journal
- (iii) Member of a standing grant review committee at the national level
- (iv) Serving an administrative leadership role at the college or university level
- (v) Serving as an officer in the University Senate

