




Dean, College of Medicine
Vice President for Clinical
Academic Affairs
138 Leader Avenue, Room 241
Lexington, KY 40506-9983
859 323-6582
fax 859 323-2039
www.uky.edu

May 14, 2012

TO: Timothy Tracy, Ph.D.
Acting Provost

FROM: Frederick C. de Beer M.D.
Dean, College of Medicine
Vice President of Clinical Affairs

A handwritten signature in black ink, appearing to read "F. de Beer", is written over the "FROM:" line and extends into the "TO:" line.

RE: Department of Behavioral Science Rules and Procedures

According to the Governing Regulations the faculty of the Department of Behavioral Science have revised and approved the departmental rules and procedures. The enclosed, departmental rules and procedures have my approval.

DEPARTMENT OF BEHAVIORAL SCIENCE
University of Kentucky
College of Medicine
RULES OF PROCEDURE

I. BASIC PROCEDURES:

Faculty Involvement in Educational Policy Making: *(In this document, "faculty" refers to fulltime individuals with primary, tenure-track appointments in the Department of Behavioral Science unless otherwise specified.)*

1. Academic Requirements – The Department faculty have primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules.
2. Courses of Study – See Academic Requirements above
3. Class Schedule – See Academic Requirements above
4. Graduate Programs – The graduate program faculty meet periodically to discuss program training, evaluations of students, and student recruitment selection.
5. Research Programs – The faculty make all decisions that relate to the setting of research priorities for the Department and in relation to procedures that support the conduct of departmental research.
6. Service Functions – Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education and research.

Faculty Involvement in Developing Procedures for the Following Areas:

1. Appointing Faculty Members – The Department Chair shall consult all Department faculty for input before new faculty appointments are made. Written letters of support are provided by Department tenured faculty. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have an initial appointment in that center.
2. Reappointments – All tenured faculty in the Department shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
3. Terminating Faculty – The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the Department and with all full-time, non-tenured members of the Department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the Department for two years.
4. Decisions to not Reappoint – Same as Reappointments above

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5. Post-Retirement Appointments – Same as Reappointments above
6. Granting Tenure – All tenured faculty in the Department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

Written letters of support are provided by the Department tenured faculty through the Department Chair to the College of Medicine's Appointment, Promotions, and Tenure, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

Tenured Faculty Meeting: The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

Faculty Participation: Faculty being considered for promotion or review of tenure progress shall be notified by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews and shall have the privilege of dissent from the judgment of their peers on those and other matters in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. Faculty Performance Evaluations – The Chair will discuss junior faculty performance with senior faculty for the two and four year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine requires an annual faculty performance review with an updated CV, teaching portfolio, and faculty database for all non-tenured full-time faculty. Tenured faculty may choose to skip the formal review process during the second year of the biennium.

8. Preparation of Budget Requests – The Chair of the Department is responsible for budget preparation in accordance with the process developed by the college, Medical Center, and the University.

Establishing Rules – When faculty decide a rule is needed, all full-time faculty holding primary appointments in the Department are encouraged to participate in discussion at the department meeting. Efforts toward consensus are made, and the majority rules.

Governing and Administrative Regulations – Rules of Procedure for Department faculty are superseded by governing and administrative regulations of the institution.

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Modifying Rules – See above “Establishing Rules”

Copies of Rules to All Faculty – All Regulations and Rules of Procedures manuals are maintained in the Department Administrator’s office and are available for review by all Department faculty and staff.

II. MEETINGS:

Regularly Scheduled – The faculty shall convene at least once a month. Any member may request an item to be placed on the agenda by submitting same to the Chair’s office prior to the next scheduled meeting. Faculty Meetings Members: Attendance at faculty meetings include the faculty, departmental secretary, systems coordinator, graduate student representative, postdoctoral fellows, and Department Administrator. Other faculty (adjunct, joint, research, retired, emeritus, voluntary) may also attend department meetings.

Number Needed to Request a Special Meeting – Special meetings may be called by the Department Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

Quorum Necessary for Transaction of Business – Action taken at meetings shall require approval by a majority vote of faculty members present and voting. Six faculty constitutes a quorum.

Presided over by Chair or Delegate – The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

Minutes Available to Faculty – Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the Department. Minutes may be amended at the next scheduled meeting if necessary.

Notification of Meetings – Notification of the meeting place and time is made by e-mail.

Voting Policy – The Department of Behavioral Science has adopted a procedural format which specifically excludes the use of formal motions or formal rules of order until issues under consideration have been fully aired through free and open discussion and there is clear and mutual understanding of each member’s position. Recognition of consensus or a majority viewpoint is accepted except on matters wherein University regulations require or a member requests a formal vote. When a formal vote is required, all full-time faculty with tenure-track, primary appointments in the Department of Behavioral Science and emeritus faculty who are actively involved in the programs of the Department are eligible to vote. Every reasonable effort is made to obtain the vote of all those who are eligible; the majority rules. All other members of the Department are encouraged to provide advice to the faculty prior to the faculty vote.

Conformity to Open Meeting Act – The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to the University policy.

III. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees. The Department has one standing committee:

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Computer Committee

Purpose: The Committee advises the Department on all matters related to the nature and function of its computer systems.

Selection & Composition: The Committee shall be composed of a Chair appointed by the Department Chair. Committee members shall include faculty and staff with considerable knowledge and/or responsibility for the computer system of the Department; committee members are appointed by the Department Chair.

Length of Service of Members: The Committee Chair shall serve for one year and may be reappointed annually. Department committee members serve for one year and may be reappointed annually.

Chair Ex-Officio Members: The Department Chair is an ex-officio member of the committee.

Frequency of Meetings: The Committee Chair shall convene the Committee only when requested by the Department Chair or member of the committee.

Human Subject Compliance and Safety Committee

This committee monitors problems with compliance with Human Subject and Safety guidelines and IRB regulations for departmental research projects. It is composed of the Department Chair and two faculty appointed by the Chair and meets annually or more frequently at the discretion of the Chair.

IV. FACULTY PERSONNEL ACTIONS:

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

Evaluation of Faculty Performance – Annual Performance Evaluation: During the last two months of each calendar year, as required by governing regulations and the Dean of the College of Medicine, the Chair conducts performance evaluations of all full-time faculty. At that time, the Chair distributes an activities reporting form that invites enumeration of a variety of activities relevant to all areas of required evaluation. The Chair reviews reporting forms, current CVs, student evaluations, and personnel files for all other evidence bearing on performance. The Chair rates the applicable categories and writes a narrative highlighting selected areas of performance. Individual faculty members and the Chair meet to discuss the performance ratings before forwarding the documents to the Dean for further review. Two- and four-year Reviews of Untenured Faculty: The required reviews of untenured faculty occur shortly after the completion of the second and fourth years of the pre-tenure period. The tenured faculty review the relevant CVs and meet as a group with the Chair to offer comments on progress of the candidates toward tenure. These comments are compiled by the Chair and incorporated into letters which are then discussed individually with pre-tenure faculty. Copies of these letters are forwarded to the Office of the Dean. The emphasis in these reviews is on advice that will enable candidates to develop the strongest possible case supporting eventual promotion and achievement of tenure.

Appointments/Reappointments – After permission to recruit is received from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input will be confidential to the extent permitted by law. Letters from faculty will be requested by the Chair. The Chair will transmit the faculty's decision to the Dean.

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Reappointment/Terminal Reappointment/Non-reappointment – Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may present their case in writing to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The decision is determined by a majority vote of the faculty.

Promotion – Annually, the Chair reviews CVs of all who are eligible for tenure or promotion and presents them to the tenured full professors of the Department. When they judge that individuals may be ready to be proposed for promotion by the Department, the Chair discusses that prospect with the candidates. The initiative is then brought to the entire tenured faculty for discussion and a decision. If the tenured faculty decide to propose promotion or tenure, the Chair discusses with the candidates the preparation of the strongest possible dossiers. With advice from the candidates, the Chair initiates requests for letters of support from all but the tenured faculty, who will submit letters after they have read the comments from the outside referees. Untenured faculty and selected graduate students and postdoctoral fellows are also invited, though not required, to write letters of comment on the candidates after reviewing outside letters. If the tenured faculty decide not to propose promotion or tenure, candidates are invited to present written materials for consideration by the tenured faculty supporting an initiative to propose promotion or tenure. The tenured faculty will reconsider its decision in light of the candidates' new information.

Tenure – same as for promotion

V. ACADEMIC MATTERS:

Academic Advising – Medical and graduate student advising is accepted when a student request for advising is judged appropriate by the individual faculty member.

Curriculum – Course Directors, in conjunction with the Chair, oversee the preparation of course syllabuses, the preparation of examinations, and the recording of grades. Specific policies are stipulated in the course syllabuses which are distributed to the students at the start of each course. In team-taught courses, the faculty discuss problems and needed changes in the course policy at meetings of course faculty. The progress of students, needed changes in course content, and distribution of topics are also discussed at course faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. Courses with one faculty person are governed in all respects by the instructor, in consultation, when necessary, with the Chair.

Class Schedules – Class schedules are set by Course Directors in consultation with Chair.

Evaluations of Courses – All courses are evaluated by students who write evaluation comments, at least once, at the end of courses. Additional evaluation may be sought in writing and orally from individual student liaison committees. Chair and Course Directors review evaluations with teaching faculty. Chair and Course Directors may also evaluate teaching by direct observation of teaching activities.

VI. BUDGET PREPARATION:

The budget is prepared by the Department Administrator, under the supervision of the Chair. The Chair consults faculty on budget decisions relating to expenditures of salary reimbursement, salary savings, incentive, incidental, and education enrichment funds.

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VII. STUDENT PARTICIPATION:

Number Of Students Involved – One graduate student representative is chosen by the Behavioral Science Student Organization to attend Department meetings as a non-voter in order to facilitate communication between faculty and students.

Method of Selection for Committees – same as above

Approved by Faculty vote: May 11, 2012

VIII. Policy and Regulations Concerning Lecturer Positions (Approved by Faculty vote: May 11, 2012)

Percentage of Lecturers:

Lecturers may comprise up to ten percent (10 %) of the faculty of the Department of Behavioral Science at the University of Kentucky. For purposes of this calculation, “faculty” is defined as the number of tenure track positions in the department.

Appointment at the Rank of Lecturer:

When seeking to hire a Lecturer, the department will place a job announcement describing the position and duties in appropriate publications and/or job banks. This announcement will request interested candidates to submit a cover letter, a current curriculum vita, statements of teaching and professional development interests, and evidence of teaching effectiveness to the Department’s Search Committee. Top candidates will be invited to campus for an interview.

The appointee will have received a terminal degree in his or her field and show promise of being an excellent teacher.

Appointment at the Rank of Senior Lecturer:

In the event that department wishes to hire someone from outside the University of Kentucky at the rank of Senior Lecturer, the department will place a job announcement describing the position and duties in appropriate publications and/or job banks. This announcement will request interested candidates to submit a cover letter, a current curriculum vita, statements of teaching and professional development interests, and evidence of teaching effectiveness to the Department’s Search Committee. Top candidates will be invited to campus for an interview.

The appointee will have received a terminal degree in their field, have substantial experience in teaching, and be demonstrably an excellent teacher.

Reappointment at the Ranks of Lecturer or Senior Lecturer:

Lecturers of any rank will demonstrate a continuing record of high-quality and effective teaching. Teaching assessment will include a review of the candidate’s quantitative and qualitative teaching evaluations conducted each semester and an evaluation of a teaching portfolio that has been prepared according to University of Kentucky guidelines.

Lecturers will also demonstrate an active professional development program, which may include research related to the Lecturer’s substantive area of instruction or in the scholarship of teaching and learning. Evidence of professional development includes publication of essays, research

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reports, articles, and book chapters in hard copy and web-based formats; scholarly presentations about teaching, participation in conferences, colloquia, workshops, and training sessions, external funding, and/or teaching awards. It is recognized that the professional development expectations for Lecturers are modest, compared to tenured and tenure-track faculty.

Lecturers will contribute to the productive functioning of the department by participating in departmental, college and university committees related to their instructional mission, as well as academic or public organizations related to the Lecturer's instructional duties. It is recognized that the service expectations for Lecturers are modest, compared to tenured and tenure-track faculty.

Promotion to the Rank of Senior Lecturer:

A Lecturer Series faculty employee may be considered for promotion (without tenure) from the rank of Lecturer to the rank of Senior Lecturer at any time after five (5) years of continuous full-time service. In preparing a recommendation to the dean on a promotion case in the Lecturer Series, the department chair shall consult with the tenured faculty of the department and obtain their written judgments (see AR 2:1-1 Appendix I).

The candidate will have shown evidence of living up to his or her promise of excellence at teaching as evidenced by the teaching materials gathered as part of the FMER process and any additional information available to the Department such as information gained through classroom observation. The candidate will also have a record of excellence in the performance of any assigned nonteaching responsibilities.

Nonrenewal of Appointment:

If a lecturer or senior lecturer fails to perform well as a teacher (or in his or her nonteaching responsibilities) as evidenced by the materials gathered as part of the FMER process and any additional information available to the Department such as information gained through classroom observation, the appointment may not be renewed.

Lecturer Series faculty employees are entitled to the right of appeal on matters of procedure, privilege and/or academic freedom that is afforded faculty employees in other faculty series, as prescribed in the *Administrative Regulations* (AR 2:1-1, Sections XI and XII) and as provided in the *Governing Regulations* (GR I.I).

Voting Rights of faculty serving in Lecturer or Senior Lecturer Positions:

Faculty in Lecturer or Senior Lecturer positions have the same faculty voting rights as faculty in non-tenure track research title series positions.

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