

DEPARTMENT OF TOXICOLOGY AND CANCER BIOLOGY
College of Medicine, University of Kentucky

Preamble: Criterial Expectations and Statements of Evidence (01-21-2020)

University Criteria. Under the Governing Regulations of the University, the University-level criteria for performance, reappointment, promotion and tenure are established by the President (GR VII.D; GR VII.F.2.e). These University-level criteria have been promulgated by the President in AR 2. The President's office has directed that no other "criteria" are to be established (10/04/1995).

Unit Criterial Expectations.

The President's office (02/08/1996) has directed that under Administrative Regulation 3:10.B.4, each department faculty may elaborate its **criterial "expectations"** on how the University-level criteria for academic ranks (below) apply to the department for **Regular Title Series** or **Research Title Series**.

The University-level criteria for **Regular Title Series** (AR 2:2) include evaluation of "excellent scholarship," "external recognition" at the "regional" or "national level," but the regulation does not define what those terms mean in regard to each department's research-intensive or instruction/service-intensive faculty.

The University-level criteria for **Research Title Series** (AR 2:5) include terms of "independent" and "outstanding" regarding research, but the regulation does not define what the terms mean for each department.

The criteria for ranks of the **Special Title Series** (STS) are "special" to each STS position and are proposed for each position by the department (AR 2:4).

In addition, the COM requires a format of promotion/tenure C.V. that necessitates definition of down to a "local" range of recognition. The DTCB adopts the following definitions for all its present title series. These refer to the level of the organization of the recognition, i.e., an invited talk at national conference held at UK is a national recognition.

Institutional	Within UK
Local	Within KY
Regional	Adjacent States
National	United States

Statements of evidences. Within the above framework of University criteria, and department criterial expectations, the Governing Regulations require that the Core faculty of the DTCB shall develop a written statement describing the evidences of activity in instruction, research and service that are appropriate to the unit's field(s), for use in guiding evaluations (GR VII.E.5.(c)).

Primary area of assignment. "Evaluation of a faculty employee's performance in each area of activity should be commensurate with his or her approved distribution of effort" (AR 2:2). Hence, the DTCB criterial expectations and statements of evidences elaborate appropriate focus what is the area of primary assignment of effort.

Intent. The following criterial expectations and descriptions of evidences of activity toward University-level criteria are provided as a mechanism of furthering clarity and communication within the DTCB, and with the administration, on the expectations for activities of Core faculty whose primary appointments are in the unit. In addition, provision of examples of evidences that will be accepted for consideration under those University-level criteria and the DTCB criterial expectations further assists the subject faculty member in preparing evaluation materials that fully illustrate merits of their case. University regulations require that all personnel considerations be performed based on merit (AR 2:1-2). Thus, documentation of the unit-level criterial expectations statements on discipline-appropriate evidences enables participating faculty to protect the opportunity that the regulations intend for the subject faculty members to have the full merits of their cases assessed. The DTCB criterial expectations for ranks in each title series, and the evidences used within the DTCB will be approved by the Dean of the College of Medicine as consistent with the University-level criteria.

**Special Title Series
Criterial Expectations for Ranks**

02/12/20

Note to evaluators, and appointees, concerning this elaboration of DTCB Criterial Expectations for Special Title Series (STS) positions. Service, Instruction and Research comprise the three University Mission areas. Compliant with the University policy for Differentiated Distribution of Effort (AR 3:8), all STS positions currently approved by the Provost for the Dept. of Toxicology and Cancer Biology (DTCB) reserve all DOE for the University missions of Service and University Instruction. Pursuant to AR 3:8, activities in 'administration' are include as a form of the University Service mission. No DTCB STS positions have any DOE approved for Research. The DTCB department does not intend in the future to establish STS positions with any assigned DOE in Research. Accordingly, criterial expectations elaborated below for the creative scholarship of persons appointed to DTCB STS positions necessarily arise from the mission areas of Service or Instruction, particularly for the area of *primary assignment*.

Assistant Professor: Criterial Expectations – appropriate terminal degree (in DTCB, a Ph.D. or equivalent)

(1) Service

If Primary Area of Assignment is Administration

- _ Potential for or evidence of administrative and leadership abilities in administration as attested to by colleagues at the local level and activity in this capacity.
- _ Evidences include involvement in and collaboration with the mission of the Department, College and University at many levels as evidenced by the judgments of colleagues and peers within the DTCB, College or Cancer Center.

All STS Positions

- _ Evidence of professional status and leadership and skills or abilities to enhance contributions at the Department, College and University.
- _ Evidence will include those for potential for recognition by professional peers and for participation in local professional organizations

(2) Teaching, advising and other instructional activities

If Primary Area of Assignment is Instructional Program Building/Teaching

- _ Commitment to develop new course content, to warranted major revision of existing courses, and to coordination of content throughout the Professional Master's curriculum.
- _ Commitment to develop and apply original teaching/programmatic materials or other methods, as measures of scholarly activity.

All STS Positions

- _ Potential for, or demonstrated capability for, excellence in teaching as attested to by colleagues, peers and students at the local level.

(3) Creative Scholarship in Area of Primary Assignment – All STS Positions (No DOE Assignment in Research)

- _ Potential for, or demonstrated capability for, excellence in creative scholarship in the area of primary assignment as attested to by colleagues, peers and students at the local level.

Associate Professor: Criterial Expectations. For the rank of Associate Professor, the individual shall have demonstrated:

- _ High and continuous scholarly achievements, commensurate with the individual's assignments in areas below.
- _ Further, the individual should have earned **regional, perhaps national recognition for excellence** in scholarly activities of the **primary area of assignment**.

(1) Service

If Primary Area of Assignment is Administration

- _ Substantial growth and improvement in the administrative and leadership abilities in administration and leadership abilities as attested to by colleagues, mentors and awards at the national level.
- _ Mission success in the individual's immediate area of administrative responsibilities.
- _ Administrative support via extramural, peer reviewed grants/contracts as co-investigator and/or PI.
- _ Administrative leadership role, and yearly maintenance of assigned effort to administrative role

- _ Professional status and leadership on a statewide basis including direct participation in and supervisory responsibility for community outreach (e.g., educating K-12 students and community members about cancer), in which the candidate participates both in pre-award and post-award activities

If Primary Area of Assignment is Instructional Program Building/Teaching

- _ Effective participation in policy-making decisions of department, college or University educational committees;
- _ Application of instructional program building skills to participation in department, college or University meetings, seminars, or workshops concerning innovative instructional program building.

All STS Positions - Service Relating to Additional Institutional and Professional Service

- _ Conscientious and impactful participation in faculty meetings, faculty appt/promotion/tenure considerations, reviews of educational unit and of unit administrator, etc.
- _ Editor/Editorial board of journal concerning administration or instruction program-building; officer/chair/committee of corresponding professional organizations
- _ Professional recognition and participation in professional organizations including presenting at professional conferences which are attended by colleagues in the profession of primary assignment of the particular STS position (e.g., research administrators, instructional program builders).

(2) Teaching, advising and other instructional activities

If Primary Assignment is in Instructional Program Building/Teaching

- Scholarly *excellence* in academic instruction concerning
- _ the established curriculum
 - _ non-curricular student-contact and advising activities
 - _ development of new courses/curricula,
 - _ assessment of innovative programming, and/or
 - _ non-contact activities such as admissions or program review committees.

High professional recognition for quality of accomplishment with

- _ High value by students and esteem by peers,
- _ Academic and career success of taught students and mentees.

All STS Positions

- _ Excellence and outstanding accomplishments as a mature teacher of undergraduate, graduate, professional and/or postdoctoral trainees (commensurate with instructional assignments), as indicated by teaching awards, attestations by students, colleagues, mentees, regional peers or other indicators listed in DTCB Statements of Evidence

(3) Creative Scholarship in Area of Primary Assignment (No DOE Assignment in Research)

If Primary Assignment is Administration

- _ Peer-reviewed books, book chapters, journals, including on administration;
- Innovative new media (webinars, podcasts) publishing concepts in areas including administration

If Primary Assignment is Instructional Program Building/Teaching

- _ Development and application of original teaching materials or other methods
- _ Excellence in the design, establishment and implementation of innovative degree programming recognized at the regional, perhaps national level, as exhibited by peer-reviewed publication and invited presentations appropriate to this discipline.

Professor: Critical Expectations. For the rank of Professor, the individual shall have demonstrated

- _ High and continuous scholarly achievements, commensurate with the individual's assignments in areas below.
- _ Further, the individual should have earned **national, perhaps international recognition for excellence** in scholarly activities **of the primary area of Administration assignment.**

(1) Service

If Primary Area of Assignment is Administration

Beyond the Associate rank level of requirements, shall show **continuous improvement** in:

- _ Evidence of **sustained excellence** in administrative and leadership abilities in administration and leadership abilities as attested to by colleagues and awards at the national level.
- _ Mission success in the individual's immediate area of responsibilities.

- _ Administrative support via extramural, peer reviewed grants/contracts as co-investigator and/or PI.
- _ Administrative leadership role in college, and yearly maintenance of assigned effort to administrative role
- _ Professional status and leadership on a statewide basis including direct participation in and supervisory responsibility for community outreach (e.g., educating K-12 students and community members about cancer), in which the candidate participates both in pre-award and post-award activities

If Primary Area of Assignment is Instructional Program Building/Teaching

- _ Effective leadership and participation in policy-making decisions of department, college or University educational committees;
- _ Application of instructional program building skills to leadership and participation in department, college or University meetings, seminars, or workshops concerning innovative instructional program building.

All STS Positions - Service Relating to Additional Institutional and Professional Service

- _ Imaginative and impactful participation in faculty meetings, faculty appt/promotion/tenure considerations, reviews of educational unit and of unit administrator, etc.
- _ Editor/Editorial board of journal concerning administration or instruction program-building; officer/chair/committee of corresponding professional organizations
- _ Professional recognition and participation in professional organizations including presenting at professional conferences which are attended by colleagues in the profession of primary assignment of the particular STS position (e.g., administrators, instructional program builders).

(2) Teaching, advising and other instructional activities

If Primary Assignment is in Instructional Program Building/Teaching

Scholarly *excellence* in academic instruction concerning

- _ the established curriculum
- _ non-curricular student-contact and advising activities
- _ development of new courses/curricula,
- _ assessment of innovative programming, and/or
- _ non-contact activities such as admissions or program review committees.

High professional recognition for quality of accomplishment with

- _ High value by students and esteem by peers,
- _ Academic and career success of taught students and mentees.
- _ New, innovative instructional programs that are approved by University peer mechanisms, lauded by higher education experts external to UK, and attracting national and international students,

All STS Positions

- _ Excellence and outstanding accomplishments as a mature teacher of undergraduates, graduate and postdoctoral trainees, may include teaching awards and attestation to by colleagues or peers at the national level or other indicators listed in DTCB Statements of Evidence

(3) Creative Scholarship in Area of Primary Assignment (No DOE Assignment in Research)

If Primary Assignment is Administration

- _ Peer-reviewed books, book chapters, journals, including on administration
- _ Innovative new media (webinars, podcasts) publishing concepts in areas including administration

If Primary Assignment is Instructional Program Building/Teaching

- _ Development and application of original teaching materials or other methods
- _ Excellence in the design, establishment and implementation of innovative degree programming recognized at the regional, perhaps national level, as exhibited by peer-reviewed publication and invited presentations appropriate to this discipline.
- _ Emulation of the faculty member's educational programming accomplishments by other universities.

(Note: The expectation for evidences from those listed below only applies to Special Title Series to the commensurate extent that DOE is assigned to the particular area (in accordance with the approved position description)).

Research Area of Activity (AR II-1.0-1.A.2)

Acceptable Evidences of Research Activity under the criteria area of research, or activities in support of the research program, include but are not limited to those listed. (Some of these evidences may also be appropriate under Professional Service)

(a) Quantity of activity

i. Publications (in order of importance).

- Number of refereed journal publications or refereed books.
- Number of publications as book chapters, symposium proceedings.
- Number of publications in un-refereed journals, popular press articles, intramural publications, etc.

(For multiauthored publications, the contribution of the faculty member to the publication should be made clear and duly assessed and attested).

ii. Non-published activities.

- Patent submissions; income to the University from patents and intellectual property
- Development of computer software, cell lines, organic compounds, etc. of interest to scientific community.
- Recruitment of postdoctoral scholars, technical staff.
- Intramural interdisciplinary/inter-investigator research interactions.

(b) Quality, Significance and Recognition of Research Activity.

i. Quality of Publications

- Reviews of the work and number of its citations in peer review publications; laudatory comments in external manuscript reviews
- Societal/public impact such as informing public policy, references in patents, citations in online encyclopedias, press coverage, social media engagements, and reads/downloads/views.
- Educational impact such as inclusion in academic textbooks, syllabi, and course curricula.

ii. Research Recognition (AR 2:2)

(Some of the evidences here may also be applicable to Professional Service)

- Invitations to give symposium presentations, write review articles, seminars at other institutions, etc.
- Invitations to provide book, journal article or grant reviews.
- Expertise inquiry from media
- Invitations to provide expert witness testimony
- Scope of invited event-local, regional, national, international presentations.
- Success in acquiring contracts, patents, extramural and intramural grant awards,

- with appropriate weighting for size/source of award, & award rate.
- Ranking level of proposal by awarding group.
- Laudatory comments contained in grant reviews.

Instruction

Acceptable Evidences of Instructional Activities include, but are not limited to, those listed

(a) Quantity of Instructional activities.

i. Academic instruction within established curriculum.

- Classroom lectures given, laboratory exercises conducted, topical projects directed-actual contact time.
- formal office hours associated with courses being taught; number of students' hours provided.
- development of lecture, exercise, topic materials; preparation of syllabus, grading exams, reports, etc.
- organizing appearance of lectures in multi-instructor courses.
- assignments in direction and advising students on conceptualization, organization and execution of scientific studies.
- advising/teaching postdoctoral trainees in an apprenticeship role, for which UK gets matriculation credit with the Council on Postsecondary Education.
- direction of curricular seminars
- guest lectures in the classes of other instructors
- mentoring junior faculty or contributing to continuing education of senior faculty

ii. Academic Instruction-new curricula

- development of course proposals; pursuing administrative approval processes, etc.
- writing new, original lecture/laboratory materials for new course
- advertising new course

iii. Non-curricular student-contact and advising activities

Applies to all nature of advising high school, undergraduate, graduate, professional, postdoctoral and other categories of students, whether in capacity as individual or committee member

- formal assignments in undergraduate, graduate student coursework advising
- advising students on career strategies/opportunities
- advising students on preparation of job applications, teach job seminar skills
- advising students on preparation of intramural seminars
- advising students on writing grant proposals, manuscripts, etc.; presentations at scientific meetings
- advising students on conceptualization, organization, execution of formal research projects
- advising students in misc. situations
- student recruitment visits to other locations, interviews with prospective students

iv. Non-curricular Instruction-related activities

- organizing student research talk or journal club activities
- teaching publications, meeting presentations on teaching techniques and issues
- attendance at teaching workshops; teaching sabbaticals

- service on graduate committees of students under the direction of other faculty
- participation on student admissions committees, student appeals committees, etc.
- teaching program assessment committee activities, etc.
- writing letters of recommendation for students or graduates

(b). Quality of Instructional Activities

i. Instruction within established curriculum

- student evaluation ratings
- narrative evaluations by students, colleagues, DGS, others who attended lectures
- narrative evaluations by student groups, graduates, testimonials by parents or other associates of students
- incorporation of new research advances into instructional materials
- ability to organize and present class material logically and with conviction

ii. Instruction-new curricula

- efforts to improve instruction through innovative and experimental approaches
- success of experimental or new course offerings

iii. Non-curricular student-contact and advising activities

- success in student recruitment or retention
- student success following adoption of advisory recommendations
- student success in competitions or job application interviews, etc.
- success of student organizational activities, which the faculty member advised on

iv. Non-curricular Instruction-related activities

- success in student in obtaining jobs for which the faculty member wrote in support of the student
- intramural and extramural requests for published teaching materials
- solicitation for additional, future service in teaching-related advisory capacities
- smooth, effective functioning of admissions, appeals, and other committees

Public (Professional/Community) and Institutional Service (dept, college, university)

- (1). Professional Activity. It is expected that Core faculty will be members of one or more professional societies within their discipline. It is also expected that a formal presentation will be given at a national-level or international-level scientific meeting at least once per year by the faculty member or representative from his/her research group. Additional activities beyond these specific criteria evidences are expected, the combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.
- (2). Public Community Service. Faculty are encouraged disseminate or demonstrate the application of research and learning to community health and spirit. Community service is a means by which faculty can use their scholarly expertise to contribute to the life of the community by helping individuals to define and pursue personal goals which enrich their own lives and well-being. Through community service faculty enhance the health and education literacy of communities.
- (3). Institutional Service Activity

As a Member of or Elective Representative of a Faculty Body. It is expected that Core faculty will actively participate on DTCB committees and perform other actions in faculty

governance that are necessary for the smooth and effective functioning of the DTCTB. In connection with this evidence of activity, the Department Chair shall ensure that all Core Faculty serve on DTCTB Committees prior to mandatory tenure or promotion considerations (AR 2:1-1; AR 3:11). Additional activities beyond these are expected, the combinations of activities being determined by the needs of the public, university, College of Medicine and DTCTB, and by the academic freedom of the faculty member.

Administrative Assignment. Faculty may be appointed to administrative positions or assigned administrative activities. Evaluation of performance in these activities shall include evidences that the activities have been performed effectively (AR 2:2).

(4). Acceptable Evidences of Activity in the Area of Service include, but are not limited to, those listed below.

(a). Quantity of service activities.

- i. Institutional (department, college, university) activities as a member of or elected representative a faculty body
 - committee or other activities toward formation of policy or decisions or actions
 - participation in activities of faculty governance in educational policy formation
 - participation in - faculty personnel processes, evaluation of unit staff, etc.
 - participation in unit reviews, recommendations on budgetary matters, intramural awards, etc.
 - solicitation of gifts to the university
 - graduate advisory committees of students in other university programs
 - internal University project/grant proposal review panels (e.g. or pilot grants)
- ii. Institutional (department, college, university) activities in administrative position or administrative assignment, including the following from the Provost 2018 DOE policy memo.
 - administrative position (e.g., unit administrator, assistant/associate dean or assistant/associate provost; Director of Graduate Studies, etc.)
 - providing administrative support or management direction for an administrative unit
 - activities in which the faculty member participates in non-academic committees that do not directly support instruction, research or public service.
 - assignment providing consultative input or other administrative support for an administrative unit;
 - administrative activities without a formal title, e.g., process/initiative directors, special project; service as interim unit administrator in chair's absence.
- iii. Public (Professional/Community) Service Activities
(some of these may also be offered as UK institutional service)
 - serving as expert witness, rendering professional opinions in legal, govt. venues
 - presentations to lay groups related to area of expertise
 - participation in teacher in-service training; speaking to students in public school system; participation in other programs interfacing the university to the public
 - national/international proposal review (NIH, NSF, AHA, DoD; EU, etc.)
 - providing scientific advice to potential and actual users of UK Core facilities
 - organizing Symposia/Workshops at the National or International level
 - writing support letters for Core users (UK and external)

- providing advice for grant proposals (experimental design, text, references)
- society memberships, offices held, or functions provided to, professional societies.
- attending professional meetings, oral presentations, posters
- review of papers, book chapters, on-site review teams, editorial councils
- securing professional license

(b). Quality of Institutional, Professional or Community Service Activities

- adoption of recommendations made in advisory capacity
- letters of appreciation from clientele or other recipients of service or administrative activity.
- success in soliciting gifts to university.
- positive feedback on symposia and workshops, or from supervised persons
- full attendance at symposia/workshops
- competitive grant awards; service awards
- expressions of appreciation from journal editors, authors for quality of reviews
- expressions of appreciation from panel or symposium organizers, administrators on quality of the service
- requests for additional information from attendees of symposium.
- solicitation for your provision of professional service again on panels, teams or as event organizers, or in administrative position/assignment
- election to professional office
- accomplishment of unit or administrative metrics
- meritorious outcome of summative and periodic administrative reviews

Professional Development

The following can be included as evidence of activity in professional development

Attending Symposia and/or Workshops at UK or extramural professional events
 Attending National or International Conferences
 Attending DTCB, Markey CC, COM or other UK academic seminars
 Research Retreats
 Sabbatical Leave
 Other activities of continuing education