

GRADUATE CENTER FOR TOXICOLOGY
University of Kentucky
College of Medicine
RULES OF PROCEDURE

I. BASIC PROCEDURES

A. GCT Functions:

The missions of the Graduate Center for Toxicology (GCT) are teaching, research and service. A copy of the GCT mission statement shall be maintained at the GCT front office and periodically assessed by the GCT faculty.

B. Faculty Definitions and Responsibilities:

1. The faculty in the GCT is comprised of:
 - a. Core faculty; with regular (primary) appointments in the GCT
 - b. Full Faculty; full members of the Graduate Faculty, who have joint appointments in the GCT
 - c. Associate Faculty; associate members of the Graduate Faculty, who have joint appointments in the GCT
 - d. Affiliate Faculty; who are not members of the Graduate Faculty, who have joint, adjunct or volunteer appointments in the GCT
 - e. Emeritus faculty
 - f. Graduate Faculty; who are associate or full members of the GCT Graduate faculty, who do not have an academic joint, adjunct or volunteer academic appointment with the GCT
2. Tenured and tenure-track Core faculty possess voting rights by virtue of their primary appointment in the GCT. Nontenure track Core faculty are extended a voting member privilege by their appointment or reappointment. Full and Associate faculty are extended a voting member privilege by their appointment or reappointment. Voting privileges of the Affiliate Faculty, Graduate Faculty, and Emeritus faculty will be determined individually. Decisions to extend voting status are by majority vote of the tenured and tenure track Core faculty conferring the voting privilege (GR VII.A.6.(a)).
3. Core faculty, and full faculty who are full members of the graduate faculty, may direct the research of (serve as advisors or mentors of) masters and doctoral students. Core faculty and Full Faculty who are Associate members of the graduate faculty may direct the research of master's students and may serve as co-advisors of doctoral students.
4. Associate faculty may serve as co-advisors of masters and doctoral students.
5. Only GCT faculty may serve as advisors or co-advisors for GCT graduate students.
6. The faculty of the GCT agree to uphold the high ethical standards outlined in the Code of Ethics of the Society of Toxicology.

C. Involvement of Faculty in Educational Policies.

The faculty is the governing body of the GCT and has jurisdiction over matters concerning its internal educational policies insofar as these do not conflict with other University regulations and rules

1. **Educational Policies and Procedures on Graduate Student Recruitment.** Various efforts will include distribution of announcements to colleges and universities, listings such as Peterson's Guide and the Resource Guide to Careers in Toxicology, participation of the GCT faculty in Minority Summer Research Experience, individual recruitment activities such as seminars and professional meeting presentations, and by securing of training grants and other funding to attract capable graduate students. The Admissions Committee will identify the best-qualified students during the period January through March of each year and make offers of admission and financial support. The Director will be responsible for the prompt handling and disposition of applications.

2. **Educational Policies and Procedures on Graduate Student Placement**

a. Philosophy: Each student entering the GCT should have the opportunity to assess how well his/her career interests match those of the existing GCT faculty. The selection of the student's major research advisor is probably the most important decision the graduate student will make during his/her graduate program. This decision should be an informed one without undue financial considerations. Therefore the following guidelines are meant to clarify the student placement process within the GCT with due consideration of funding issues.

b. Procedures:

- (1) Each student entering the GCT should be uncommitted to an advisor. This requirement may be waived under special circumstances with the approval of the Core faculty upon the recommendation of the Admissions and Finance Committee.
- (2) The Director of Graduate Studies will initially advise the student until an advisor is identified. The responsibilities of the Director of Graduate Studies will include the following:
 - i. Advise the student about coursework.
 - ii. Advise the student to meet with 4 or 5 of the GCT faculty (Full, Core or Associate members) compatible with the general interests of the student. Note: The Director of Graduate Studies shall periodically review and evaluate the student's progress.
 - iii. At the end of the student's first 2 months in the program, he/she will be required to identify three faculty research programs in which a minimum rotation of 6 weeks each will be carried out.
 - iv. By the end of the first year, the student should have selected a major research advisor. Failure to do so will jeopardize the student's funding.
 - v. All other duties assigned by the policies and rules of the University Graduate Faculty or by the Dean of the Graduate School.
 - vi. Ensuring compliance of practices of the GCT graduate program with AR 5:2.

c. Funding:

- (1) Unless otherwise stipulated in writing by the Director of the GCT, the GCT will be responsible for the full support of all first year students.
- (2) The major research advisor will be responsible for providing the following:
 - i. An appropriate laboratory environment for the student.
 - ii. Full support for the student for the second year and thereafter.
 - iii. Full support for the student's project.
- (3) Students may be admitted into the GCT M.S. program without any financial support. However the student must be fully informed of his/her financial responsibilities, including possible payment of out-of-state tuition. No student will be admitted to the Ph.D. program without financial support from the GCT, from his or her home government, or from other scholarships that they bring with them.

D. Faculty Involvement in Developing Procedures.

The GCT faculty is specifically charged with:

1. Establishment of Rules of Procedures.
2. Establishment of a committee structure to deal with matters over which it has jurisdiction.
3. Development of educational policy such as academic requirements, courses of study, class schedules, graduate and research programs, and service functions (including those public service functions described in AR 3:8).
4. Establishment with the Director of written procedures to be used by the GCT to make recommendations on:
 - a. Appointment of new members
 - b. Promotions
 - c. Reappointments
 - d. Terminal appointments
 - e. Decisions not to reappoint
 - f. Post-retirement appointments
 - g. Granting of tenure.
5. Establishment with the Director of written procedures and criteria to be used for annual Core faculty performance evaluation.
6. Establishment with the Director of written procedures to be used in preparing budget requests that the Director will submit.

II. Faculty Meetings:

- A. **Scheduled Meetings:** Regular meetings of the faculty, with a minimum of two meetings per academic year (one per semester), shall be held. The Director of the GCT shall schedule and chair the meetings.
- B. **Special Meetings:** the Director when necessary shall call special meetings of the faculty.
- C. **Agenda:** An agenda for each faculty meeting shall be prepared and distributed by the Director to the faculty at least 10 working days prior to the meeting. Members of the faculty may place items on the agenda for a faculty meeting. Such written agenda items should be submitted to the Director. Announcements and agendas of special faculty and committee meetings will be posted in advance on the bulletin board outside 306 HSRB.
- D. **Participants:** Participants in the GCT faculty meetings, or committee meetings, shall include all faculty members, or members of the committee. At the discretion of the Director, non-voting faculty may be invited to leave the meeting during discussion of sensitive matters. However, formally closed meetings can be held only to deliberate the specific matters of appointment, discipline or dismissal of specific persons, following a majority vote in public to go into closed session, and without restriction of the right of the affected individual to cause hearings to take place in public session. In addition, any final action must take place in public session.
- E. **Quorum:** The quorum required to conduct business shall be one fourth of the voting faculty of the GCT, at a meeting of the entire GCT faculty, or a majority of the voting faculty of the Core faculty, at a meeting of the Core faculty, or a majority of the voting faculty of a committee, at a meeting of a GCT committee.
- F. **Parliamentary Procedure:** Parliamentary procedure shall be in accordance with generally accepted procedures. Points of difference shall be decided in accordance with Robert's Rules of Order (Newly revised), a copy of which is on file in the GCT office, with decisions on interpretation to be made by a parliamentarian appointed by the chairperson.

- G. Minutes: The committee chairperson or a faculty secretary to be elected by majority vote of the voting faculty shall have the responsibility for taking minutes of the faculty meetings (in the absence of such election the GCT Director shall draft the minutes). Minutes which include a record and description of the motions made, and of the actions and recommendations adopted shall be typed and distributed to the faculty by the office of the Director, or the committee chairperson as appropriate, within a week after a faculty meeting. At the request of a faculty member, amendments to the draft minutes may be proposed for adoption by the faculty (committee) member at the next faculty (committee) meeting
- H. Meetings of the faculty and faculty committees will be in compliance with the Open Meetings Law, a copy of which is on open file at the GCT office.

III. Committees:

The Director in consultation with faculty makes faculty appointments to all committees. The Director will appoint GCT faculty to standing and ad hoc committees for specified periods of service. The Director in consultation with the Toxicology Student Forum will make student appointments to committees. Committee members will have staggered appointments so that experienced individuals will always be available for committee service. A description of the functions and operating procedures of all departmental committees shall be on file in the GCT office. The Director shall serve ex officio on all GCT committees.

A. Standing Committees of the Faculty are:

1. Core Faculty Committee
2. Executive Committee
3. Admissions and Finance Committee
4. Curriculum Committee
5. Qualifying Exam Committee
6. Student Award Committee

B. Ad hoc administrative committees to advise the Director shall be appointed by the Director as needed.

C. Description of Committees

CORE FACULTY COMMITTEE

The Core faculty committee is composed of faculty with primary appointments in the GCT. The committee is charged with daily activities and decisions of the GCT educational programs, and with bringing to the attention of the GCT faculty important matters that require formal actions by the GCT faculty as a whole. In the exercise of this function, the Core faculty committee consults with and advises the Director of the GCT. In accordance with the Governing Regulations, the Core faculty is the voting body in the extension (or withdrawal) of membership and/or voting privileges to other persons assigned to the GCT (GR VII.A.6.(a)).

EXECUTIVE COMMITTEE

The Executive Committee is charged with advising the GCT Faculty and the Director in all matters pertaining to the educational policies and faculty programs of the GCT.

It also may make recommendations to the faculty or Director on issues of promotion and tenure, probationary status and termination of faculty. The Executive Committee shall be composed of faculty representatives from colleges in the Medical Center and from other colleges, the Core

Faculty, and the Director of Graduate Studies, the college representatives being selected by the Director in consultation with the GCT faculty. The Executive Committee shall have one student member, who shall have full voting privileges, and shall be the President of the Toxicology Student Forum except as otherwise determined by the Toxicology Student Forum

FACULTY SEARCH COMMITTEE

Functions:

1. After receiving permission from the Administration to fill a vacant or a new position, conduct a search for a new faculty member in accordance with University's hiring guidelines.
2. In consultation with the Director (who is ex officio on the committee), develop position announcement and advertisements to be used in journals/chronicles or classified sections of national newspapers.
3. Disseminate the position announcement and receive applications.
4. Identify qualified candidates and make arrangements for interviews.
5. Recommend a candidate to the Director.
6. See that correspondence and documents relating to the search and the outcome are filed in accordance with University regulations, and applicable State and Federal Laws.

Procedures:

1. A current copy of University hiring guidelines as well as a copy of the current GCT Rules of Operation and Procedures will be distributed to each search committee member. The search will be conducted in accordance with all regulations and guidelines.
2. A position announcement will be developed that includes:

Title of the position

Job description and/or responsibilities of the position

Minimum qualifications

Deadline for receiving applications at least one month from mailing date

Name, address and telephone number of person to contact in the GCT

Equal opportunity statement

Address of Affirmative Action Coordinator

3. The announcement will be disseminated to appropriate departments having potential qualified candidates including institutions listed in affirmative action guidelines. A copy will be sent to GCT faculty.
4. The position will be advertised as required by law in fora appropriate for the position.
5. After receipt of applications, the committee will inform applicants of materials needed to complete the file and the deadline for receiving them.
6. After a specified date, the search committee will identify all qualified candidates and rate top several candidates and arrange interviews. Folders of top candidates will be made available to GCT faculty in the GCT office for review.
7. Arrangements for interviews will be made with sufficient notice to GCT faculty so that they can arrange to meet the candidates. Any GCT faculty member who desires to meet with the candidate will be allowed to do so.
8. No candidate should be offered the position before the closing date for application.
9. After the interviews, the search committee will convene a special meeting of the committee at which time faculty interested GCT faculty will be availed of the opportunity to voice opinions.

At this or a later time the search committee will meet and recommend a candidate. The recommendation of the search committee will be forwarded to the Director.

10. The Director and the administration will then negotiate with the candidate recommended by the search committee.
11. Unsuccessful applicants will be notified promptly of decisions regarding the position.
12. All correspondence and documents relating to the search will be filed in accordance with University regulations.

ADMISSIONS AND FINANCE COMMITTEE

The Admissions and Finance Committee will review and recommend to the Director of Graduate Studies (who shall be presiding officer of its meetings) acceptance or rejection of applications of applications for admission. The committee will also make recommendations to the Director on the distribution of funds used for the purpose of providing stipends for graduate students of the GCT.

Additional responsibilities, **involving educational policy-making**, will include the development of long-range programmatic plans for resource acquisition and allocation. The Admissions and Finance Committee shall have one student member, who shall have full voting privileges, and shall be the President of the Toxicology Student Forum, unless determined otherwise by the Toxicology Student Forum.

CURRICULUM COMMITTEE

The educational policy-making responsibilities of the Curriculum Committee are to make recommendations to the faculty on teaching objectives, curriculum planning, course content and scheduling. This committee coordinates the development of syllabi for each course, makes continuing evaluation of course offerings and makes suggestions for adding, deleting, revising or renumbering courses. This committee will maintain surveillance over teacher evaluation methods and recommend changes. This committee shall include a GCT student, who shall be the President of the Toxicology Student Forum, except as otherwise determined by the Toxicology Student Forum, who shall have full voting rights. The Director of Graduate Studies is an ex officio nonvoting member of the Curriculum Committee. The Curriculum Committee has the responsibility for the maintenance and revision of the Student Handbook.

QUALIFYING EXAM COMMITTEE

This committee is responsible for **educational policy and instructional program** of the GCT by way of assembling the yearly written portion of the qualifying exam, administering the exam, effectuating the grading of the exam and assessing the status of pass or fail of the exam for each examined student. The Director of Graduate Studies will serve as Chair of this Committee.

STUDENT AWARDS COMMITTEE

This committee establishes **educational policy on the criteria** for evaluating the merits of individual cases, with a copy of the established criteria made available in the GCT office. The committee also serves the managerial function of making recommendations to the Director on student candidates for awards given by the GCT or by other University offices.

IV. Faculty Search

The Director in consultation with faculty shall appoint a Search committee when permission to recruit for a position has been received from the administration. The Search committee shall consist

of Core, Full, Associate and outside faculty, as well as a student representative. A description of the functions and operating procedures of the Search committee are in Section III.C of this document.

V. Faculty Personnel Actions

A. Progress Review, Reappointment, Promotion and Tenure Progress Review of Junior Core Faculty

1. Access to Procedures and Criteria on Progress Review and Reappointment. The procedures used in developing unit recommendations on progress review and reappointment, terminal reappointment, or non-reappointment of Core faculty shall be those established by the University, the College of Medicine and the GCT faculty. Prior to the solicitation of reappointment/progress review materials from either the consulted or subject faculty, the Director will place in the GCT office file of "Administrative Policies and Procedures Statements" a copy of the current University procedures and criteria, and of the procedures of the College of Medicine and GCT governing the processes. The Director will attempt to coordinate the progress reviews around the fall meeting or spring meetings of the GCT faculty, as appropriate, when making an announcement of the dates by which participants must submit the given materials. These dates must be such that the Director will receive all specified materials at least one week in advance of the GCT Core faculty meeting. The Director shall not prepare the unit records or recommendations on tenure/promotion progress, reappointment, terminal reappointment or non-reappointment until after the meeting of the GCT Core faculty, unless the individual being reviewed and the Director agree to other scheduling. Reviews of progress toward tenure are mandatory in the GCT each year for untenured faculty, while reviews of progress toward promotion are conducted at the request of the associate professor.
2. Inputs to be utilized from participants. In addition to the documentation on activities submitted by the evaluated individual, inputs from students and colleagues will be used (AR 2:1). In the administration of the reappointment/review process the Director shall seek the advice of the tenured and other GCT faculty of the GCT, individually or as a committee, as described below, so as enable the Director to accurately speak for the unit (GR VII.B.5). On matters of reappointment, the Director must receive the consultative input described below from tenured Core faculty, and also from tenure-track Core faculty who are availed the opportunity to offer such input (GR VII.B.5), and also from non-Core faculty who offer such input (GR VII.B.5). Written judgments from specialists outside the GCT are not required, but will be received and utilized if so arranged by the subject faculty member.
3. Assembly of the documentation to be examined. The faculty member being evaluated will submit to the Director a reappointment/review dossier containing an updated C.V. and teaching portfolio, and any associated materials as suggested below, which the faculty member considers pertinent in documenting his/her activities. The Director will add to the reappointment/review dossier the results of student evaluations of courses in which the faculty member participated, along with a description of the substance of informal expressions of student attitude received by the Director that are pertinent to assessment of the individual's teaching or advising. The Director will include a description of the meaning of the student ratings in relation to student ratings of other GCT faculty and other GCT courses. With the agreement of the subject individual, the Director may add to the file additional documentation received by his/her office that is illuminative of the quality or quantity of the individual's performance, such as letters received by the Director from specialists in the field outside of the GCT. The Director shall add to the dossier a copy of the applicable distribution of effort agreements describing expected activities of the

individual, and which were assigned by the unit so as to provide opportunities for making due progress toward reappointment or tenure/promotion in terms of the unit's expectations (AR II-1.0-5.B.3). The Director shall also add copies of the final outcomes of previous progress reviews. Each junior faculty member has a standing offer to personally address a meeting of the GCT Core faculty prior to the Director's preparation of the unit record or recommendation on tenure/promotion progress, reappointment, terminal reappointment or non-reappointment.

4. Input from GCT faculty. The Director will make the reappointment/progress review dossier available to GCT faculty at the GCT office. . The Director shall place written composite summary of the received evaluative input in the individual's file. The summary shall serve as the GCT faculty input utilized by the Director. The Director will take active measures to encourage Core GCT faculty and the executive committee members, and non-Core members who may choose to submit recommendations, to examine all materials in the reappointment/progress review file before supplying their assessments and recommendations to the Director.
5. Preparation of the Unit Recommendation by the Director. After receipt of the solicited materials from the GCT faculty, and prior to the meeting of the GCT Core faculty, the Director shall examine and evaluate the factual documentation in the file, and study the recommendations of the GCT faculty as expressed in the file summary. If from this analysis the Director detects a problem with the reappointment or progress of the faculty member, the Director shall discuss the situation with the faculty member and solicit any additional pertinent documentation that might exist that was not originally included in the file. The Director shall also advise the faculty member that s/he may personally address the next regular or specially scheduled meeting of the GCT Core faculty. From the recommendations supplied by GCT faculty, and incorporating the outcome of any appearance of the faculty member before the GCT faculty or its discussion of the individual's case, the Director shall prepare a record describing the unit's assessment of tenure/promotion progress and the basis for it and/or prepare a recommendation describing the nature of the reappointment and the basis for it. As required by the Governing Regulations (GR VII.B.5), in preparing this record or recommendation the Director shall transmit the opinion of the GCT faculty, and hence may itself contain and constitute the file record of input summary described in (4) above. If the Director finds it necessary to depart from the opinion of the GCT faculty, the Director shall also transmit in record/recommendation to the Dean the opinion of the GCT faculty, and shall indicate in the record the reasons for this departure (GV VII.B.5). The Director will submit the record of progress and/or recommendation on reappointment to the Dean, noting the supporting materials generated during the process. The Director shall inform the subject faculty member of the nature of the recommendation upon its transmittal to the Dean. In these processes the Director functions as the administrative officer of the unit, and not also as an individual consulted faculty member (AR 2:1).
6. Maintenance of Progress Review and Reappointment Records. A copy of records related to the progress review and/or reappointment that are received by the Director, or prepared by the Director, the consulted faculty members, or the affected faculty member, shall be maintained in the departmental faculty file of the subject individual. The faculty member has access to the materials under the Open Records Act and University policy (AR 2:1.III.E).
7. Promotion and Tenure of Core Faculty. The procedures, criteria, and evidences of activity under those criteria, to be used in the promotion and/or tenure of GCT Core faculty shall be the same as those described for reviews of progress toward tenure/promotion of GCT faculty. An additional provision applying to actual promotion/tenure processes concerns the mandatory solicitation of letters from specialists in the field from outside the GCT. According to university requirements,

specialists from outside the university shall be called upon to attest to the qualifications of the candidate individual (AR 2:1-1.III.F.3). The following procedures shall be utilized in the solicitation and use of letters obtained from such specialists.

The Director shall solicit from the candidate names of suggested specialists from outside the university. The candidate shall provide at least three names of potential specialists from outside the University, and shall include a statement of the qualifications of the individuals suggested to serve as external peer reviewers. The candidate may also provide the names of individuals that the candidate would prefer not be solicited as external reviewers, and may include reasons for such preference. Independently, the Director shall solicit from the GCT Core faculty, and from the Executive Committee, names of potential reviewers external to the GCT, and individuals offering names to the Director shall include for each a statement of the qualifications of the reviewers. From these lists, the Director shall choose a group of external reviewers from outside the university. The list of reviewers external to the university selected by the Director shall be constructed so as to strive for at least four, and more than half, of the reviewers to be from the list constructed independently of the candidate (AR 2:1-1.III.F.3). The Director shall solicit from the final lists of reviewers their written judgments as to the qualifications of the individual for rank or tenure status for which the candidate is being considered, and will provide with such solicitation a C.V. supplied by the candidate for this purpose, along with several representative publications if provided by the candidate for this purpose.

The solicitation of the Director must contain a statement describing the university policies on access of the candidate to these written judgments (AR 2:1-1.E.3), and shall specify for the reviewers the date of needed provision of the letters, which shall be a date prior to the meeting of the GCT Core faculty at which the case of the candidate will be discussed (AR 2:1-1.III.F.2). The Director shall take active measures to encourage the consulted GCT faculty to read and consider these external letters prior to preparation of their own written judgments (AR 2:1-1.III.F.2). The written judgments of the external reviewers and descriptions of their qualifications, and written judgments of the consulted GCT faculty, shall be included in the dossier forwarded to the Dean. The Director shall retain file copies of each list of suggested names received from each faculty member offering such names, a copy of the letter(s) of solicitation to reviewers external to the GCT, and copies of all records s/he produces or receives, or produced by consulted faculty members, or by the affected individual during the promotion/tenure process.

B. Non-Core Faculty Appointment to the GCT

Any Full or Associate member of the graduate faculty or other individuals may petition the GCT faculty for admission. The request for admission must include:

1. A statement from the applicant outlining his/her present (and future) research interests and experience in Toxicology as well as expected interactions within the GCT in the areas of teaching, research, and service.
2. A letter from the Director of the GCT stating the anticipated benefit to the GCT and the contribution the applicant will make to the GCT programs.
3. A letter from the applicant's chair supporting the applicant's admission to the GCT and recognizing the applicant's desire to participate in teaching and other activities of the GCT.
4. The applicant must present a research seminar in the Toxicology Seminar Series, which demonstrates the applicant's research interests in the field of Toxicology.
5. All applicants will be reviewed and approved by the Core Faculty .

C. Evaluation of the Performance Participation of Core and Non-Core Faculty:

1. Annual/biennial performance review of GCT Core faculty
 - a. Access to procedures and criteria. The Director shall evaluate the performance of the Core GCT faculty according to procedures and criteria established by the University, the College, and the GCT faculty. Prior to the solicitation of review materials from either the consulted or evaluated faculty, the Director will place in the GCT office file of "Administrative Policies and Procedures Statements" a copy of the current University, College and GCT procedures and criteria governing the review process.
 - b. Inputs to be utilized from participants. In addition to the documentation on activities submitted by the evaluated individual, inputs from students and colleagues will be used (AR 3:10.A.2). In the administration of the performance evaluation the Director shall seek the advice of the faculty of the GCT, individually or as a committee, as described below, so as enable the Director to accurately speak for the unit (GR VII.B.5). During each year, the Director shall attend at least one class lecture given by each Core faculty member, scheduled at the arrangement of the affected faculty member.
 - c. Assembly of the documentation to be examined. The faculty member being evaluated will submit to the Director a review file containing a completed merit evaluation report , or other document containing similar information, and any associated materials that the faculty member considers pertinent in documenting his/her activities during the review period. The Director will add to the review file the results of student evaluations of courses in which the faculty member participated, along with a description of the substance of informal expressions of student attitude received by the Director that are pertinent to assessment of the individual's teaching or advising. The Director will include a description of the meaning of the student ratings in relation to student ratings of other GCT faculty and other GCT courses. With the agreement of the subject individual, the Director may add to the file additional documentation received by the Director's office that is illuminative of the quality or quantity of the individual's performance. Along with a copy of the applicable distribution of effort agreement describing expected activities of the individual, the individual will include a statement explaining any significant departure from this agreement during the review period. The documentation in the review file will serve as the factual basis for the evaluation.
 - d. Input from GCT faculty. The Director will make the review file available to GCT faculty. The Director shall solicit and summarize assessments submitted by the Core GCT faculty and will add these assessments and their composite summary to the individual's review file. The summaries shall serve as the GCT faculty input utilized by the Director.
 - e. Recommendation of the Director to the Dean. The Director shall examine and evaluate the factual documentation in the review file, and consider the recommendations of the GCT faculty as expressed in the file summaries and from these sources develop a tentative recommendation. Should the Director's recommendation find a considerable problem with lack of performance in a given area of activity, then prior to finalizing his recommendation the Director may choose to solicit from the subject individual any additional pertinent documentation that might exist that was not originally included in the file. The Director shall then record on the College of Medicine performance review form a quantitative assessment and qualitative judgment of the performance of the evaluated individual in each area of activity (AR 3:10.A.1). The Director's recommendation shall also include discussion of the progress on the individual toward promotion/tenure in terms of the unit's expectations (AR 3-10:B.4). From these evaluations in each area of activity, and with weightings according to the distribution of effort assignment, the Director shall enter on the review form an overall performance rating. This finalized record, which constitutes the Director's recommendation on the merit performance evaluation of the individual, will be forwarded to the Dean in the

review file. As required by the Governing Regulations (GR VII.B.5), in preparing this recommendation the Director shall transmit the opinion of the GCT faculty. If the Director finds it necessary to depart from the opinion of the GCT faculty, the Director shall also transmit in the evaluation record to the Dean the opinion of the GCT faculty, and shall indicate in the record the reasons for this departure.

- f. Final Decision and Discussions. After the Dean has decided separately from the Director upon a performance rating in each area of activity, and an overall rating, they will confer on the performance of each faculty member and attempt to resolve any differences in judgment (Provost memorandum). Following this discussion, there will be a conference between the chairman and each faculty member focusing upon the faculty member's performance of his or her assignment during the review period. The Director will inform the faculty member of his or her performance ratings and describe the information used in arriving at the rating. If the Dean and Director have been unable to resolve any differences, the faculty member will be informed of the ratings of both the Director and the Dean and the Dean's decision is final.
 - g. Use and Maintenance of Performance Review Records. These performance ratings constitute recommendations on merit salary increase and the final rating by the Dean serves as the recommendation forwarded by the Dean for ultimate merit salary action by the Board of Trustees. A copy of records related to the evaluation that were received by the Director, or prepared by the Director, consulted faculty members, or the affected faculty member, shall be maintained in departmental faculty file of the subject individual. The faculty member has access to the materials under the Open Records Act and University policy (AR 2:1.III.E)
 - h. GCT faculty input on performance review of the Director. Members of the GCT, and especially the Core members, are invited to submit to the Dean their assessment of the performance of the Director during the review period in the Director's capacity as a faculty member in the areas of teaching and research. To facilitate this exercise, the Director shall maintain a file for access of GCT faculty that contain materials describing the activities and accomplishments of the Director with respect to the GCT, such as a C.V., annual GCT reports, or any other materials deemed relevant by the Director.
2. Distribution of Effort Assignments of Core Faculty.

In the spring of each year the Director will formulate with each faculty member an agreement on their distribution of effort for the next year in research, teaching, professional development, public and university service, and any other special assignments. The distribution of effort assignments will made so as to provide adequate opportunities to junior faculty for making due progress toward tenure or promotion requirements, and to full professors for meeting expectations in self-improvement (AR 3:10-C.2). Consideration will also be given to class sizes, enrollment trends and other relevant indicators. In developing these assignments, the Director shall seek the advice of the Core and other GCT faculty, individually and at meetings of the Core faculty (GR VII.B.5). Prior to finalization each spring, a copy of the proposed D.O.E. form of each Core faculty member will be available at the GCT office for any Core faculty member to examine. As per university requirements, the activities covered by the D.O.E. constitute the total expectation of activities of the individual (BPM E-13).
 3. Evidences of Activity for use in performance review, reappointment, promotion and tenure of Core GCT faculty
 - a. Mandate for unit-level establishment of evaluative evidences of activity. Under the Governing Regulations of the University, the University-level criteria for performance, reappointment, promotion and tenure are established by the President (GR VII.A.I.2; GR VII.V.5). These University-level criteria have been promulgated by the President in AR 2. Within that framework, the Governing Regulations require that the Core faculty of the GCT

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.A.6.(c)). These written statements are subject to the final approval of the Dean of the College of Medicine.

b. Intent. The following descriptions of evidences of activity toward University-level criteria are provided as a mechanism of furthering clarity and communication within the GCT, and with the administration, as to 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 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 on the basis of merit (AR 2:1-2). Thus, documentation of the unit-level 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 available for assessment. In these processes, the evidences used within the GCT will be approved by the Dean of the College of Medicine as consistent with the University-level criteria.

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

(1). Evidences of Activity in Research. In accordance with the Governing Regulations (GR VIIA.6.(c) and the Administrative Regulations (AR 2:2), it is expected that Core GCT faculty will produce publications in the mode of refereed journals. Although obtaining extramural funding is not in and of itself a criterion of activity in Research, in the discipline of Toxicology, it is typically necessary to secure extramural funding in order to support the expenses associated with continuous productivity in publication. GCT Core faculty are also expected to vigorously seek this sufficient extramural funding to the extent necessary to sustain continuous productivity, the success of which and level of funding being commensurate with the funding levels and award rates of funding sources in the individual's discipline. The quality of publications will also be considered, assessments of which will be assisted by evidences of quality described below. Additional activities in research beyond journal articles (sustained as needed by extramural funding) are expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.

(2). Acceptable evidences of activity under the criteria area of research, or activities in support of the research program, include but are not limited to those listed.

(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.

ii. Non-published activities.

-Patent submissions.

-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.

[note: as per a general directive from the Provost, move obtaining grants from here over to evidence of Professional Activity/National Reputation]

(b). Quality of activity.

i. Publications

- Impact factor, half-life factors and immediacy factors of journals and published works (as per Sci. Cit. Index).
- Impact factor of journals of authors who cite your work.
- Reviews of and number of citations of your work; laudatory comments in external manuscript reviews.

ii. Non-published activities

- Solicitations for research advice/materials.
- Success in recruitment of qualified laboratory staff.

d. Professional Status and Activity (AR 2:2)

(1). Evidences of Professional Status and 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 particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member. (Professional activity is also considered as a form of public service).

(2). Acceptable evidences of activity of professional status and activity include, but are not limited to, those listed below:

(a). Quantity of activities.

- i. Societal memberships, offices held in, or functions provided to, professional societies.
- ii. Number of meetings attended, presentations given.
- iii. Number of extramural grants, papers, book chapters reviewed.
- iii. Service on grant panels, on-site review teams, editorial councils, ad-hoc committees.
- iv. Securing professional license.

(b). Quality of professional activity.

- i. Expressions of appreciation from journal editors, authors for quality of reviews.
- ii. Expressions of appreciation from panel or symposium organizers, administrators on quality of your professional service.
- iii. Requests for additional information from attendees of symposium.
- iv. Solicitation for your provision of professional service again on panels, teams or as event organizers.
- v. Election to professional office.

(c). Evidences of strong scholarly reputation.

- i. Invitations to give symposium presentations, write review articles, seminars at others institutions, etc.
 - ii. Invitations to provide book, journal article or grant reviews.
 - iii. Scope of invited event-regional, national, international.
 - iv. Funding
 - 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.
- e. Teaching.
- (1). Evidences of Activity. It is expected that Core faculty will perform classroom teaching each academic year and that each Core member serve as coordinator for at least one GCT course each academic year. It is also expected that each faculty member participate in the recruitment of GCT graduate students and will attend departmental seminars and research/journal club meetings. Additional activities beyond these specific criterial elaborations are also expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.
- (2). Acceptable evidences of activity under the teaching area include, but are not limited to, those listed below.
- (a). Quantity of teaching activities.
- i. Academic instructions 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 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
 - 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
 - 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 or journal club

- presentations
- advising students on writing grant proposals, manuscripts, etc.;
- presentations at scientific meetings
- advising students on conceptualization, organization, execution of formal research projects

-student recruitment visits to other locations, interviews with prospective students

iv. Non-curricular teaching-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 Teaching Activities

i. Academic instruction within established curriculum

- student evaluation ratings
- narrative evaluations by students, colleagues, Director of Graduate Studies or 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. Academic 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/mentor activities

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

iv. Non-curricular teaching-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

f. Public and University Service

- (1). Evidences of Activity. It is expected that Core faculty will actively participate on GCT committees, and perform other actions in faculty governance that are necessary for the smooth and effective functioning of the GCT. In connection with this evidence of activity, the Director shall ensure that all Core Faculty serve on GCT Committees, such as the Admissions Committee or Curriculum Committee prior to mandatory tenure or promotion considerations (AR II-1.0-1). Additional activities beyond these specific criteria

elaborations are expected, the particular combinations of activities being determined by the needs of the public, university, College of Medicine and GCT, and by the academic freedom of the faculty member.

(2). Acceptance evidences of activity under area of service include, but are not limited to, those listed below.

(a). Quantity of service activities.

i. University/ College/ /GCT activities

- committee or other activities toward formation of policy or decisions for actions
- participation in activities of faculty governance (e.g., faculty personnel processes, evaluation of unit staff, etc.)
- performance of administrative duties (e.g., unit administrator, head of task force, Director of Graduate Studies, etc.)
- participation in unit reviews, recommendations on budgetary matters, intramural awards, etc.
- solicitation of gifts to the university

ii. Public Service Activities

- serving as expert witness, rendering professional opinions in written form and in depositions
- presentations to lay groups related to area of expertise
- participation in teacher in-service training; speaking to students in public school system
- participation in telethons or other programs interfacing the university to the public

(b). Quality of Service Activities

i. Adoption of recommendations made in advisory capacity

ii. Letters of appreciation from clientele or other recipients of service activity. Success in soliciting gifts to university.

4. Evaluation, Reappointment and Promotion of Non-Core faculty

Introduction: Effective monitoring and enhancement of non-Core faculty participation in GCT activities requires a process for evaluation of non-Core faculty participation and a mechanism whereby such faculty participation may be encouraged, supported and, if necessary, terminated.

It should be emphasized that no attempt has been made to quantify the level of teaching, research and service activities required for membership in the GCT. Adequate levels of participation in each of these activities will undoubtedly vary among individual faculty according to the specific nature of their involvement, their commitments elsewhere in the University, and other considerations germane to the interests of the GCT.

Faculty will be jointly appointed (and/or appointed to the GCT graduate faculty) for a 5-year period, with membership and voting privileges conferred or withdrawn in accordance with the Governing Regulations. At the end of their joint appointment period, faculty may be contacted regarding their continued interest in a joint appointment in the GCT. Joint (and/or graduate faculty) participation may occur at the level of mentoring of students, giving of lectures, service on student Advisory Committees, and on GCT committees (e.g., Curriculum Committee, Student Awards Committee), as will be specified in the initial appointment correspondence exchanged between the

applicant and GCT Director, and as further approved by the Core Faculty (and/or graduate faculty) . These approved agreements on expected areas of activity for the given joint (and/or graduate faculty) member will be utilized in GCT decisions on joint reappointment or joint promotion of the joint (and/or graduate) faculty member. Joint (and/or graduate faculty) reappointments will be reviewed and if approved by the Core Faculty (and/or graduate faculty, respectively), , will be made for another 5 years. Faculty may withdraw from their Joint and/or graduate appointments at any time of their own choosing.

VI. Selection of the GCT Director

A search committee shall be appointed by the Administration when the position becomes available and permission to fill the position has been received from the administration. The Search committee shall consist of Core, Full and outside faculty and a student representative. All GCT faculty shall have the opportunity to address the search committee. The search committee will make its recommendation to the GCT faculty at a special faculty meeting, and the faculty's recommendation along with that of the search committee will be forwarded to the administration.

VII. Academic and Administrative Responsibilities of the GCT Director

It is essential that the Director remain a productive scholar, teacher and researcher in his/her own field of competence.

- A. Academic Responsibilities: The director serves as Chairperson of the GCT faculty in the development of GCT policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs and service functions. The Director presides over faculty meetings and is an ex officio member of all GCT committees.
- B. Administrative Responsibilities: The Director has the administrative responsibility for implementing the GCT programs.
 1. The Director is responsible for transmitting recommendations on the appointment of new members, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure.
 2. The Director is responsible for the periodic evaluation of the faculty by procedures and criteria established by the University and the GCT faculty.
 3. The Director shall inform the GCT faculty on matters relating to expenditures of funds.
 4. In connection with each of the above major administrative functions, the Director shall seek the advice of faculty members of the GCT, individually and collectively, or of advisory committees (such as the Executive Committee) that the Director may appoint.
 5. The Director shall speak for the opinion of the GCT faculty. In the event that the Director believes it necessary to depart from the opinion of the GCT faculty, the Director shall communicate the GCT faculty opinion as well as the Director's recommendation, stating the reason for differing from the GCT faculty opinion, and will notify the GCT faculty of such action.

The scheduling of the faculty personnel actions administrated by the Director is as follows:

	<u>Asst. Prof.</u>	<u>Assoc. Prof.</u>	<u>Professor</u>
Performance Review	each fall	minimum every other fall	minimum every other fall
Progress review	each fall or as appropriate	at discretion of the faculty member	NA
Reappointment	spring prior to contract renewal	spring prior to contract renewaal	NA
Tenure/Promotion	minimum fall every 6th yr	minimum fall every 6th yr	NA
Distribution of Effort	each spring	each spring	each spring

6. Responsibility to inform: The Director is charged with the responsibility to inform prospective or new faculty on University and GCT procedures and criteria for appointment, promotion and tenure (AR 2:1).
7. Capacity as a Role Model: In his/her conduct as Director, the Director shall exhibit to the faculty, staff and students a high level of professional ethics. As such the Director makes highly visible the necessity for:
 - a. adherence to regulations both in their letter and in a spirit of fairness.
 - b. strict observance of the confidentiality of materials submitted under enforceable conditions of confidentiality.
 - c. exhibiting accuracy, forthrightness and dignity in the exercise of professional ethics and scholarship.
8. Term of Appointment of the Director: The term of Director's appointment is ordinarily every 6 years in the COM. A Director may be reappointed, however, when an ad hoc committee appointed by the Administration to review and evaluate the GCT finds that the particular circumstances and needs of the GCT make such a reappointment desirable.

VIII. AMENDMENTS

The Portion of the Rules of Procedures for the GCT that concern faculty committees and educational policies and procedures for instructional, research and service programs may be amended by the Core Faculty (GR VII.A.6.(a), at regular or special Core faculty meetings by a two-thirds majority vote of eligible voters present. A copy of the proposed amendment shall be dated and circulated ten working days prior to the meeting. No proxy votes will be accepted.

The portions of the Rules of Procedures of the GCT that concern faculty personnel and student personnel operations and procedures are jointly established by the faculty and the Director, and require

in addition the concurrence of the Director. A copy of the proposed amendment shall be dated and circulated ten working days prior to the meeting. No proxy votes will be accepted.

The Director in consultation with the faculty determines the portions of the Rules of Procedures of the GCT that are purely management in nature.

IX. UNIT LOCATION OF APPLICABLE LAWS AND REGULATIONS

The following documents are located in the GCT office 306 HSRB for examination and use by anyone.

1. Governing and Administrative Regulations
2. File of administrative policy memos affecting faculty received by the Director e.g., President's memo on faculty files, Provost policy memos on performance review, tenure, etc.)
3. Senate Rules
4. Graduate School Bulletin
5. Rules of Procedure for the Graduate Center for Toxicology
6. Student Rights and Responsibilities
7. Copies of applicable state and federal laws (e.g. Open Meetings Law, Open Records Law, Archives and Records Act, EEOC regulations on procedures and record keeping, etc.)
8. Staff Policies and Procedures Manual
9. Business Procedures Manual

X. FACULTY FILES AND PERSONNEL RECORDS

The Director of the GCT, and each GCT faculty member, shall jointly maintain a unit personnel file for each GCT faculty member. The Director shall place in this file copies of all records and documents issued or received by the Director concerning the academic status or activities of that faculty member, and any other document required by applicable laws or university regulations. The faculty member shall be responsible for placing into the file, at least once per year, an updated C.V., copies of publications or other evidences of creative productivity, and any other documents as required by University regulations. No record shall be removed from the file or destroyed without the knowledge of the faculty member, or in noncompliance with the State Archives and Records Act (a copy of which is on open file in the office of the GCT). The faculty member shall have access to any record concerning him/her, preliminary or final, contained in this or any other file, in accordance with the Open Records Act. Any university employee or public citizen has access under the Open Records Act to records in any faculty member's file that document salary, academic position, job description/assignments, distribution of effort sheets, promotion/tenure/merit review CVs or final reports of activities, vacation leaves, consulting approval forms, etc.