

**DEPARTMENT OF TOXICOLOGY AND CANCER BIOLOGY**

**University of Kentucky**

**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES**

**A. DTCB Functions:**

The Department of Toxicology and Cancer Biology (DTCB) functions within the University's missions of instruction, research and service. A copy of the DTCB mission statement shall be maintained at the DTCB front office and periodically assessed by the DTCB faculty, and made public via the DTCB website and other means.

**B. Faculty Definitions and Responsibilities:**

1. Academic Rank Appointment in the Department

a. Academic Rank Faculty

The academic rank faculty (GR VII.D) in the DTCB is composed of:

- (1) Core faculty: those with current primary appointments in the DTCB
- (2) Joint faculty: those with current primary appointments in other departments
- (3) Emeriti faculty: persons who previously had regular, primary appointment in the DTCB

b. Governing Faculty Body

The governing body (membership and voting) comprises the faculty with academic rank, both tenured and tenure-eligible Core faculty. This governing body extends the following privileges:

- (1) Tenure-ineligible Core faculty are extended the privileges of membership and voting.
- (2) Joint and Emeriti faculty are here extended the privilege of non-voting membership.

2. Degree Program Faculty

a. Graduate Faculty

The graduate faculty (GR V.E.1.A) of the Master of Science (Toxicology) and Ph.D (Toxicology and Cancer Biology) degree programs shall be comprised of:

- (1) Members of the University Graduate Faculty with primary graduate appointment in the above M.S. and Ph.D. programs. These persons may be full or associate rank in the University Graduate Faculty.
- (2) Members of the University Graduate Faculty with secondary graduate appointment in the above M.S. and Ph.D. programs. These persons may be full or associate rank in the graduate faculty.

The above graduate faculty possess voting rights on all educational policy for the Master of Science (Toxicology) and Ph.D. (Toxicology and Cancer Biology) (Senate Rule 3.2.3.1.2). Membership in the program graduate faculty is determined by Graduate School procedures. Responsibilities and rights of these graduate program faculty are prescribed in the graduate program handbook.

b. Faculty of Record - Master of Forensic Science and Analytical Genetics

The Faculty of Record for this professional program comprises the persons who were members of the graduate faculty of the above Ph.D. program when the professional Master's program was established (Feb. 2019). The Director of the professional Master's program, after consultation with the program Faculty of Record, may recommend to the Dean of the Graduate School the new appointment or removal of members of the professional program. The Dean of the Graduate School renders the final decision on the appointment or removal of members of the professional program.

### **C. Faculty Determination of Department Educational Policies.**

In accordance with University regulations, education occurs in all three mission areas of the University of instruction, research and service (GR VII.B.1). The department faculty has jurisdiction over matters concerning its educational policies, within the limits established by the *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, or the rules of the faculties of the school or college of which the department is a part. Pertinent University policies include the following.

“The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions.” (GR VII.E.5.b)

“In the areas of research and service, examples of educational programs include postdoctoral studies by residents and clinical fellows (AR 5:4) and postdoctoral scholars and fellows (AR 5:1), continuing education, and a wide variety of community outreach programs (AR 3:8).” (Senate Rule 9.2; Administrative Regulation AR 1:2.F”

“Within the limits established by the *Governing Regulations* and the *University Senate Rules*, the Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees”

“Directors of Graduate Studies (DGSs) are the local representatives of each graduate program. They provide for the program's administration and act as the official liaison with the Graduate School. Directors of Graduate Studies are responsible to the Graduate Faculty of their program.” (Graduate Bulletin)

### **D. Faculty Involvement in Developing Departmental Procedures.**

**The DTCB 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 Department Chair of written procedures to be used by the DTCB to make recommendations on:
  - (1) Appointment of new members
  - (2) Promotions
  - (3) Reappointments
  - (4) Terminal appointments

- (5) Decisions not to reappoint
  - (6) Post-retirement appointments
  - (7) Granting of tenure.
5. Within the policies of the College of Medicine, establishment with the Department Chair of written procedures and criteria to be used for annual Core faculty performance evaluation.
6. Establishment with the Department Chair of written procedures to be used in preparing budget requests that the Department Chair will submit to the Dean. (See charge below to Chair's Advisory Committee)

## II. Faculty Meetings:

- A. Scheduled Meetings:** Monthly meetings of the faculty shall be held. The Chair of the DTCCB shall schedule and chair the meetings.
- B. Special Meetings:** The Department Chair when necessary shall call special meetings of the faculty with at least five (5) working days notice.
- C. Agenda:** An Agenda for each faculty meeting shall be prepared and distributed by the Department Chair to the faculty at least two working days prior to the meeting. Ten calendar days before a regular faculty meeting, the Department Chair shall solicit the faculty for potential agenda items. A simple majority of faculty members may also place an item on the regular meeting agenda.
- D. Participants:** Participants in the DTCCB faculty meetings, or committee meetings, shall include all faculty members, or members of the committee. At the discretion of the Department Chair, non-voting faculty may be asked 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. Any final action must take place in public session, unless otherwise public action is limited by higher college or University policies.
- E. Quorum:** The quorum required to conduct business at a department faculty meeting shall be a simple majority of the voting faculty or a simple majority of the voting committee faculty of a department committee meeting.
- F. Parliamentary Procedure:** Parliamentary procedure shall be in accordance with Robert's Rules of Order (newly revised), with decisions on interpretation to be made by the Department Chair or by a parliamentarian appointed by the Department Chair. The Department Chair may break a tie vote.
- G. Minutes:** The Department Chair or committee chairperson (or a designated faculty secretary) will record the minutes. Minutes which include a record and description of the motions made, and of the actions and recommendations adopted, shall be drafted and distributed to the faculty by the office of the Department Chair, or the committee chairperson as appropriate, within a week after a faculty meeting, soliciting any due corrections. 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. The finalized minutes are then approved by vote at that next 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 DTCCB office.

### III. Committees:

The Department Chair in consultation with the Faculty makes appointments of faculty to all committees. Under University policies, programs of educational content are created and delivered by faculty in all three University mission areas of **Instruction, Research and Service**. Committees make recommendations to the department faculty concerning educational policies for all three mission areas, and recommendations to the Department Chair concerning administration of the department. Many of the committees are charged to advise on both educational policy and departmental management. The Department Chair will appoint DTCCB faculty to standing and ad hoc committees for specified periods of service. The Department Chair 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 composition of each standing committee is below. The standing committee memberships will be appointed annually by the Department Chair, except for other committee adjustments that the Department Chair may deem necessary.

#### A. Standing Committees of the Faculty are:

1. Chair's Advisory Committee
2. Education Committee
3. Curriculum Committees :
  - A Graduate M.S./Ph.D
  - B. Professional Master's
4. Admissions Committees
  - A. Admissions Committee (M.S./Ph.D.)
  - B. Admissions Committee (Professional Master's)
5. Award and Fellowship Committee
6. Research/Discovery Committee
7. Seminar Committee
8. Space, Facilities, Safety Committee
9. Service Committee
10. Retreat Committee
11. Advisory Committee on Program Personnel Planning

Additional Standing Committees may be assembled as needed, contingent on discussion with the faculty

**B. Ad hoc administrative committees** to advise the Department Chair shall be appointed by the Department Chair as needed.

#### C. Description of Standing Committees

##### 1. CHAIR'S ADVISORY COMMITTEE (CAC)

The CAC is charged with advising the Department Chair in all matters pertaining to the educational policies, faculty programs, budget, staffing and operation of the DTCCB. It also may make recommendations to the faculty or Department Chair on issues of appointment, promotion and tenure, probationary status and termination of faculty.

The (CAC) shall include two 'research intensive' faculty members, the Director of Graduate Studies (DGS), one of the concentration Directors of the professional Master's program, and a tenure-eligible faculty member. DGS and one of the concentration's Directors of the professional Master's program

can be the same person. With the exception of DGS, the term of service of other CAC members will be no longer than two years. Gradual adjustment of CAC will be made by the Department Chair on a yearly basis to ensure every faculty has an equal opportunity to serve on this committee.

## 2. EDUCATION COMMITTEE

The Education Committee considers the academic status of, and strategic planning for, the educational programming of the department that concerns undergraduate, graduate, postdoctoral and professional students. The committee makes recommendations to the Department Chair, the department faculty, and appropriate departmental committees on improvement, direction and new offerings of departmental programs that concern the education of students in the mission area of Instruction. The Education Committee has the responsibility for the maintenance and revision of the Student Handbook for the M.S./Ph.D. programs.

The Education Committee shall be chaired by the DGS and shall include the chair of each Curriculum Committee, teaching intensive faculty in each program (graduate, professional) and one Joint appointment faculty member.

### 3A. CURRICULUM COMMITTEE (Graduate M.S./Ph.D)

The educational policy-making responsibilities of the Graduate Curriculum Committee are to make recommendations to the faculty on teaching objectives, curriculum planning, course content and scheduling. This committee coordinates the development of a syllabus 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 as needed.

This committee shall be chaired by and its members selected from faculty who are teaching in the core M.S./Ph.D. curricula or who are directors of courses required in these curricula.

### 3B. CURRICULUM COMMITTEE (Professional Master's)

The educational policy-making responsibilities of the PM Curriculum Committee are to make recommendations to the faculty on teaching objectives, curriculum planning, course content and scheduling. This committee coordinates the development of a syllabus 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.

The committee shall be chaired by the Director of one of the one of the Concentrations, and shall include the Director of the other Concentration, the Director of Graduate Studies, the Chair of the Graduate Program Curriculum Committee, a teaching intensive faculty in the program, and a Joint Appointment faculty member. The Committee may also include persons external to the University who are familiar with forensic curricula and/or familiar with forensic employment environments or other critical areas not covered by current faculty.

### 4A. ADMISSIONS COMMITTEE (Graduate M.S./Ph.D)

The Admissions Committee (M.S./Ph.D) will review and recommend to the Director of Graduate Studies (who shall be presiding officer of its meetings) and the Department Chair on the acceptance

or rejection of applications for admission. The DGS and Department Chair shall jointly make the final decisions on letters of offer and of acceptance of applicants into the program.

The Admissions Committee shall be chaired by the Director of Graduate Studies (DGS), and shall include faculty members with expertise that enables understanding of student applicants from diverse backgrounds. The Admissions Committee shall have one non-voting student member who shall be the President of the Toxicology Student Forum, unless determined otherwise by the Toxicology Student Forum. With the approval of the Graduate Admission Committee, DGS and Department Chair, Core faculty can also directly accept graduate students into their laboratories without doing the first year rotations, but hosting PIs are fully responsible for the costs associated with the students, including tuition and stipend.

#### 4B. ADMISSIONS COMMITTEE (Professional Master's)

The Admissions Committee (PM) 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 PM Admissions Committee (PM) shall be chaired by one of the two Concentration Directors, and shall include the other Concentration Director, the Director of Graduate Studies, teaching-intensive faculty in the program, and a Joint appointment faculty member. The expertise of the committee shall include an understanding of needs of? student applicants from? diverse backgrounds. The Committee may also include persons external to the University who are familiar with forensic curricula and/or familiar with forensic employment environments or other critical areas not covered by current faculty.

#### 5. AWARD AND FELLOWSHIP COMMITTEE

The Award and Fellowship Committee is responsible for establishing criteria for and for making recommendations to the Department Chair on the annual Yulan Sun's memorial awards, including the Early Publication Award and Outstanding Graduate Student Award. The committee also promotes directly and through mentors encouragement for students to apply for external awards and fellowships, such as pre-doctoral fellowship opportunities. The committee also develops proposals for additional departmental award mechanisms.

The committee shall be chaired by a Core faculty member, and shall include the Director of Graduate Studies and student-engaged Core faculty who serve as Major Advisors of students.

#### 6. RESEARCH/DISCOVERY COMMITTEE

The Research/Discovery Committee considers the academic and national status of, and strategic planning for, the research programming of the department. The committee makes recommendations to the Department Chair, the department faculty, and appropriate departmental committees on improvement, direction and new opportunities of research programs and professional activities that concern the research mission of the department. To the extent that the department needs to make educational activities in the mission area of research, the research committee shall make policy recommendations. The committee may also assess and make recommendations concerning the level of activity in research-related professional activity (e.g., on study sections; manuscript reviewing, etc.). The Research/Discovery Committee organizes various events to enhance the overall research level of the department, such as Faculty Grant Talks, Faculty Research Review, Grant Reviews.

The committee is chaired by the Department Chair, and its membership includes senior research-active faculty and a member of the Education Committee.

#### 7. SEMINAR COMMITTEE

The Seminar Committee plans the TOX 770 seminar series. Programmatically, the committee evaluates how to use the seminar series to promote collaborations with DTCCB labs, to improve the department funding base, and to contribute to graduate education.

Membership includes the Department Chair, DGS, and two research-active faculty members.

#### 8. SPACE, FACILITIES AND SAFETY COMMITTEE

The Space, Equipment and Safety Committee is tasked to identify any potential issues of common space usage and allotment, common equipment, and safety and report these issues to Department Chair to improve our research environment. The committee shall also advise the Department Chair on matters of the department web site, and shall include as a member a person from the department office staff.

The Department Chair determines appropriate committee membership, including core faculty with space assignment in HSRB.

#### 9. SERVICE COMMITTEE

The Service Committee considers the effectiveness of, and strategic planning for, the service activities of the department that concern institutional, professional and community service. The committee makes recommendations to the Department Chair, the department faculty, and appropriate departmental committees on improvement, direction and new opportunities that concern the service mission of the department. To the extent that departmental educational policies need to be made concerning educational activities in the form of community service, the Service Committee shall make policy recommendations. The Service committee is responsible for updating and codifying the Department Rules document, The Service committee advises the Department Chair on matters concerning the role of joint appointment faculty.

The Service Committee is chaired by a faculty member with significant service activity, and includes other service-engaged Core faculty and a Joint appointment faculty member.

#### 10. RETREAT COMMITTEE

The Retreat Committee shall promote research, strengthen scientific interactions, and promote development of new and existing collaborations.

The Retreat Committee will be chaired by a Core faculty member, and includes the Director of Graduate Studies, two student-oriented faculty, two students, one postdoctoral scholar, and a member of the department office staff.

#### 11. ADVISORY COMMITTEE ON PROGRAM PERSONNEL PLANNING.

At the request of the Department Chair this committee renders advice to the Department Chair and Department Faculty on areas of research and disciplinary expertise of potential new faculty hires. In developing its advice, the committee shall consider current areas of critical mass of experts within the

department, the potential of future hires to develop collaborations with current faculty, and the possible impact of future hires on departmental research funding.

The committee will be appointed by the Department Chair, and chaired by a senior Core faculty member.

#### **IV. Academic and Administrative Responsibilities of the Department Chair**

**A. Academic Responsibilities:** The Department Chair serves as Chairperson of the DTCB faculty in the development of DTCB policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs and service functions. The Department Chair presides over faculty meetings and is an *ex officio* member of all DTCB committees.

**B. Administrative Responsibilities:** The Department Chair has the administrative responsibility for implementing the DTCB programs.

1. The Department Chair is responsible for transmitting to the Dean recommendations on the appointment of new members, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure. The Department Chair is also responsible for reappointment of all committee members each year.
2. The Department Chair is responsible for the periodic evaluation of the faculty by procedures and criteria established by the University, the college and the DTCB faculty. This process shall include the use of any evaluation rubric approved by the Dean of the College.
3. The Department Chair shall inform the DTCB faculty on matters relating to expenditures of funds.
4. In connection with each of the above major administrative functions, the Department Chair shall seek the advice of faculty members of the DTCB, individually and collectively, or of advisory committees (such as the Chairs Advisory Committee) that the Department Chair may appoint.
5. The Department Chair shall speak for the opinion of the DTCB faculty. In the event that the Department Chair believes it necessary to depart from the opinion of the DTCB faculty, the Department Chair shall communicate the DTCB faculty opinion as well as the Chair's recommendation, stating the reason for differing from the DTCB faculty opinion, and will notify the DTCB faculty of such action.

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

	<u>Asst. Prof.</u>	<u>Assoc. Prof.</u>	<u>Professor</u>
Performance Review	every Fall	every Fall	every Fall
Progress review	each Spring or as appropriate	at discretion of the faculty member	NA
Reappointment	Spring prior to contract renewal	(Spring prior to contract renewal if untenured)	NA

Tenure/Promotion	minimum Fall every 6 <sup>th</sup> yr	minimum Fall every 6 <sup>th</sup> yr	NA
Distribution of Effort	every Spring	every Spring	each Spring

6. Responsibility to inform: The Department Chair is charged with the responsibility to inform prospective or new faculty of University and DTCCB procedures and criteria for appointment, promotion and tenure (AR 2:1).
7. Capacity as a Role Model: In his/her conduct as Department Chair, the Department Chair shall exhibit to the faculty, staff and students a high level of professional ethics. As such the Department Chair makes highly visible the necessity for:
  - a. adherence to regulations both to their letter and intent.
  - 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 Department Chair and Unit Review: The term of the Department Chair's appointment is ordinarily every 6 years in the COM. A Department Chair may be reappointed, however, when an ad hoc committee appointed by the Administration to review and evaluate the DTCCB finds that the particular circumstances and needs of the DTCCB make such a reappointment desirable (GR VIII). Off-cycle reviews may be requested by the unit (GR IX.III).

## V. Faculty Search

The Department Chair in consultation with faculty shall appoint an ad hoc 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 faculty external to the Department. Follows a description of the functions and operating procedures anticipated of the Search Committee. If procedures used depart from those elaborated below the Department faculty will be notified and provided with an authorized justification.

### FACULTY SEARCH COMMITTEE (HIRING)

#### Functions:

1. After receiving permission from the College 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 Department Chair (who is ex officio on the committee), develop a position announcement and advertisements to be used in journals/chronicles, web sites or other media approved by University administration.
3. Disseminate the position announcement
4. Evaluate and summarize the merits of applications received.
5. Identify a short list of qualified candidates and make arrangements for interviews.
6. Recommend a candidate to the Department Chair.
7. Ensure 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 DTCB 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 and desired qualifications

Deadline for receiving applications, in accordance with University policies

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

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 DTCB Core 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 the closing 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 DTCB Core faculty in the DTCB office for review.
7. Arrangements for interviews will be made with sufficient notice to DTCB Core faculty so that they can arrange to meet the candidates. Any DTCB core 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 DTCB Core faculty will be availed of the opportunity to voice opinions to the committee. 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 Department Chair.
10. The Department Chair 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. A recommendation to the Dean by the Department Chair for appointment of a faculty candidate shall include the individual written judgments of the DTCB Core faculty members.
13. All correspondence and documents relating to the search will be filed in accordance with University regulations.

## **VI. Faculty Personnel Actions**

### **A. Tenure/Promotion Progress Review, Reappointment, Promotion and Tenure**

#### **1. Access to Policies, Procedures, Criteria and Unit Statement of Evidences 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 DTCB faculty.

The Department Chair shall draw the attention of the evaluated individual and the consulted faculty of existence and web location of these University, College and Department policies and procedures. For Regular Title Series faculty, such evaluations shall be guided by the Department 'Statement of Evidences', in accordance with the policies and procedures of AR 2:2-1 and GR VII.E.3.c that are herein incorporated by reference. For Special Title Series faculty, such evaluations shall be guided by the position description and criteria for ranks approved by the Provost and Academic Area Advisory Committee, and as those may be more specifically elaborated in the reviews of progress conducted by the department faculty, in accordance with the policies and procedures of AR 2:4 and GR VII.E.3.c that are herein incorporated by reference. For Lecturer Series faculty, such evaluations shall be guided by the Department criterial expectations for Lecturer and Senior Lecturer ranks (Section X of this document), in accordance with the policies and procedures of AR 2:9 and GR VII.E.3.c that are herein incorporated by reference. The maximum number of Lecturer Series faculty to be employed at this time in the DTCB is here approved = 1.

The Department Chair shall coordinate submission to the core faculty of the supporting evaluation materials *at least* one week before the department faculty meeting, and shall encourage the solicited faculty to consider the materials before providing their consultative input/written judgments.

The Department Chair shall not prepare the unit records or recommendations on tenure/promotion progress, reappointment, terminal reappointment or non-reappointment until after the meeting of the DTCB Core faculty, unless the individual being reviewed and the Department Chair agree to other scheduling. Reviews of progress toward tenure are mandatory in the DTCB each year for untenured faculty, while reviews of progress toward promotion are conducted at the request of the Associate Professor.

2. **Inputs to be used from participants.** In addition to the documentation on activities submitted by the evaluated individual, inputs from students and unit colleagues will be used (AR 2:1).

In the administration of the reappointment/review process the Department Chair shall seek the advice of the tenured and other DTCB faculty of the DTCB, individually or as a committee, as described below, to enable the Chair to accurately speak for the unit (GR VII.B.5).

On matters of reappointment, the Department Chair must receive the consultative input described below from tenured Core faculty, and also from tenure-eligible Core faculty who are provided the opportunity to offer such input (GR VII.B.5)

Written judgments from specialists outside the DTCB are not required, but will be received and used 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 Department Chair 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 Department Chair** 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 Department Chair that are pertinent to assessment of the individual's teaching or advising. The Department Chair will include a description of the meaning of the student ratings in relation to student ratings of other DTCB faculty and other DTCB courses.

With the agreement of the subject individual, **the Department Chair** may add to the file **additional documentation** received by his/her office that demonstrates the quality or quantity of the individual's performance, such as letters received by the Department Chair from specialists in the field outside of the DTCB. The Department Chair 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).

Each junior faculty member has a standing offer to **address personally a meeting of the DTCB Core** faculty prior to the Department Chair's preparation of the unit record or recommendation on tenure/promotion progress, reappointment, terminal reappointment or non-reappointment.

4. **Preparation of the Unit Recommendation by the Department Chair.** After receipt of the consultative input and/or solicited materials from the DTCB faculty, the Department Chair shall examine and evaluate the factual documentation in the file, and study the recommendations of the DTCB faculty as expressed in the file summary.

If the Department Chair **detects a concern** from this analysis with the reappointment or progress of the faculty member, the Department Chair 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 Department Chair shall also advise the faculty member that s/he may personally address the next regular or specially scheduled meeting of the DTCB Core faculty.

From the recommendations supplied by DTCB faculty, and incorporating the outcome of any appearance of the faculty member before the DTCB faculty or its discussion of the individual's case, the Department Chair 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 to file (progress review) or recommendation to the Dean (on the nature of reappointment) the Department Chair shall transmit **the opinion of the DTCB faculty**, and hence this recommendation may itself contain and constitute the file record of input summary described above. If the Department Chair finds it necessary to depart from the opinion of the DTCB faculty, the Department Chair shall also transmit in record/recommendation to the Dean the opinion of the DTCB faculty, and shall indicate in the record the reasons for this departure (GV VII.B.5). The Department Chair will submit the recommendation on reappointment to the Dean, noting the supporting materials generated during the process. Department Chair In these processes the Department Chair functions as the administrative officer of the unit, and not also as an individual consulted faculty member (AR 2:1).

The Department Chair shall **inform the faculty member** of the nature of the recommendation upon its transmittal to the Dean.

5. **Maintenance of Progress Review and Reappointment Records.** A copy of records related to the progress review and/or reappointment that are received by the Department Chair, or prepared by the Department Chair, 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).
6. **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 DTCB Core faculty shall be the same as those described for reviews of progress toward tenure/promotion of DTCB faculty.

An additional provision applying to actual promotion/tenure processes concerns the mandatory solicitation of **letters from outside specialists** in the field. 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 Department Chair 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 **Department Chair shall solicit names from the DTCB Core faculty** of potential reviewers external to the DTCB, and individuals offering names to the Department Chair shall include for each a statement of the qualifications of the reviewers. From these lists, the Department Chair shall choose a group of external reviewers from outside the university. The list of reviewers external to the university selected by the Department Chair 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 Department Chair 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. For Special Title Series positions, the Department Chair shall also provide external reviewers the original position description and particular evidences of activity developed by the department faculty that apply to that specific position.

The solicitation of the Department Chair 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 DTCB Core faculty at which the case of the candidate will be discussed (AR 2:1-1.III.F.2). The Department Chair shall take active measures to encourage the consulted DTCB 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 DTCB faculty, shall be included in the dossier forwarded to the Dean.

### **C. Evaluation of the Performance of Core Faculty:**

#### **1. Annual performance review of DTCB Core faculty**

**Access to procedures and criteria.** The Department Chair shall evaluate the performance of the Core DTCB faculty according to procedures and criteria established by the University, the College, and the DTCB faculty. Prior to the solicitation of review materials from either the consulted or evaluated faculty, the Department Chair shall draw the attention of the evaluated individual and the consulted faculty of existence and web location of the University, college and department policies and procedures relating to the performance review.

**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). During each year, the Department Chair shall attend at least one class lecture given by each Core faculty member, scheduled at the arrangement of the affected faculty member.

**Assembly of the documentation to be examined.** The faculty member being evaluated will submit to the Department Chair a **completed merit evaluation report**, updated C.V., and any associated materials that the faculty member considers pertinent in documenting his/her activities during the review period. The Department Chair, along with a description of the substance of informal expressions of student attitude received by the Department Chair that are pertinent to assessment of the individual's teaching or advising. The Department Chair will include a description of the meaning of the **student ratings** in relation to student ratings of other DTCB faculty and other DTCB courses. With the agreement of the subject individual, the Department Chair may add to the file additional documentation received by the Department Chair'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, or lack of opportunities for an activity, during the review period. The documentation in the review file will serve as the factual basis for weighting the evaluation of performance in the DOE categories.

**Recommendation Submitted by the Department Chair to the Dean.** The Department Chair shall examine and evaluate the factual documentation in the review file. Should the Department Chair's recommendation find a considerable problem with lack of performance in a given area of activity, then prior to finalizing his recommendation the Department Chair may choose to solicit from the subject individual any additional pertinent documentation that might exist that was not originally included in the file.

The Department Chair shall then submit to the Dean a quantitative assessment and qualitative judgment of the performance of the evaluated individual in each area of activity (AR 3:10.A.1). The Department Chair's recommendation shall also include discussion of the Department Chair's opinion 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 Department Chair shall enter on the review form an overall performance rating. This finalized record, which constitutes the Department Chair's recommendation on the merit performance evaluation of the individual.

**Final Decision and Discussions.** After the Dean has decided separately from the Department Chair 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 may be a conference between the Department Chair and a faculty member focusing upon the faculty member's performance of his or her assignment during the review period. The Department Chair will inform the faculty

member of the information used in arriving at the rating. If the Dean and Department Chair have been unable to resolve any differences, the faculty member will be informed of the ratings of both the Department Chair and the Dean and the Dean's decision is final.

**Use and Maintenance of Performance Review Records.** A copy of records related to the evaluation that were received by the Department Chair, or prepared by the Department Chair, 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)

## **2. Distribution of Effort Assignments of Core Faculty.**

In the spring of each year the Department Chair 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 be 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. As per university requirements, the activities covered by the D.O.E. constitute the total expectation of activities of the individual.

## **B. Appointment and Evaluation of Non Core members of the DTCB**

### **1. M.S./Ph.D. Graduate Faculty Membership**

All tenured or tenure eligible faculty employees with primary academic rank appointment to the department will be made primary members of the graduate faculty of the M.S./Ph.D. graduate programs. Upon the recommendation of the above graduate faculty, persons with primary academic rank appointment outside the department may be appointed to the graduate faculty. The rank (full or associate) and the nature (primary or secondary) of the appointments shall be in accordance with the procedures of the Graduate School.

Consideration for membership in the graduate faculty of persons with primary academic rank appointment in another department shall include

- A statement from the applicant outlining his/her present (and future) research interests and experience in Toxicology and/or Cancer Biology, and desire to participate in the expected graduate program activities (below). accompanied by a C.V.
- A letter from the Department Chair of the DTCB stating the anticipated benefit to the DTCB and the contribution the applicant will make to the DTCB graduate programs.
- A letter from the applicant's chair supporting the applicant's appointment to the DTCB graduate faculty and recognizing the applicant's desire to participate in expected graduate faculty activities of the DTCB (below).

Members of the graduate faculty are expected to participate in the following activities

- Teach in graduate courses of the department's degree programs
- Serve as Major Advisor of graduate students
- Serve on graduate student advisory committees
- Serve on graduate program admissions committee
- Provide a departmental seminar

Effective monitoring and enhancement of Non Core faculty participation in the DTCCB graduate program requires a process for evaluation of participation and a mechanism whereby such faculty participation may be encouraged, supported and, if necessary, terminated. Members of the graduate faculty who do not have primary academic rank in the department will be assessed periodically on the above expectations by the Director of Graduate Studies, the Department Chair, and the Department Chair's Advisory Committee. Persons not meeting expectations may have their graduate faculty membership ended.

## **2. Joint Rank Appointment**

Upon the recommendation of the above department Core faculty, persons with primary academic rank appointment outside the department may be appointed to joint academic rank in the department. The promotion in rank of the joint appointment shall be considered on its own merits from promotion of the individual in academic rank of their home primary department.

- A statement from the applicant outlining his/her present (and future) research interests and experience in Toxicology and/or Cancer Biology, or related forensic experience, and desire to participate in the expected departmental activities (below). , accompanied by a C.V.
- A letter from the Department Chair of the DTCCB stating the anticipated benefit to the DTCCB and the contribution the applicant will make to the DTCCB programs.
- A letter from the applicant's chair supporting the applicant's admission to the DTCCB and recognizing the applicant's desire to participate in teaching and other activities of the DTCCB.

Members of the department with Joint rank appointment are expected to participate in the following activities

- Teach in nongraduate courses (e.g., professional master's; undergraduate)
- Service on department committees (e.g. Education Committee, Service Committee, Chair's Advisory Committee, other standing or ad hoc committees)
- Assist in departmental strategic planning, departmental review, etc.
- Provide a departmental seminar

Effective monitoring and enhancement of participation of Joint appointees in the DTCCB graduate program requires a process for evaluation of participation and a mechanism whereby such faculty participation may be encouraged, supported and, if necessary, terminated.

Joint appointment members of the department will be assessed periodically on the above expectations by the Director of Graduate Studies, the Department Chair, and the Chair's Advisory Committee. Upon recommendation of the Core department faculty, persons not meeting expectations may have their joint appointment membership ended.

Faculty may withdraw from their Joint and/or graduate appointments at any time of their own choosing.

## **VII. UNIT LOCATION OF APPLICABLE LAWS AND REGULATIONS**

The following documents are located at the following links

1. Governing Regulations  
<http://www.uky.edu/regs/gr.htm>
2. Administrative Regulations  
<http://www.uky.edu/regs/ar.htm>
3. Provost administrative policy memos affecting faculty on performance review, tenure, etc.)

<http://www.uky.edu/ofa/node/11>

4. Senate Rules  
[http://www.uky.edu/universitysenate/sites/www.uky.edu.universitysenate/files/Rules/Current\\_SRs/M-ASTER%20RULES\\_renumbered\\_Feb19\\_20190218-1.docx](http://www.uky.edu/universitysenate/sites/www.uky.edu.universitysenate/files/Rules/Current_SRs/M-ASTER%20RULES_renumbered_Feb19_20190218-1.docx)
5. Graduate School Bulletin  
[http://gradschool.uky.edu/sites/gradschool.uky.edu/files/Bulletin/2018-2019/2018-2019Bulletin\\_part1\\_final.pdf](http://gradschool.uky.edu/sites/gradschool.uky.edu/files/Bulletin/2018-2019/2018-2019Bulletin_part1_final.pdf)
6. College of Medicine Faculty Rules  
<http://med.uky.edu/sites/default/files/Revised%20RULES%20OF%20THE%20FACULTY%205.4.18.pdf>
7. Rules of Procedure for the Dept. of Toxicology and Cancer Biology  
[http://toxicology.med.uky.edu/sites/default/files/tox-department\\_rules\\_of\\_procedure\\_0.pdf](http://toxicology.med.uky.edu/sites/default/files/tox-department_rules_of_procedure_0.pdf)
8. Student Rights and Responsibilities  
<http://www.uky.edu/deanofstudents/student-rights-and-responsibilities>
9. University Policies Concerning Archives and Records, Open Records, Open Meetings  
<https://www.uky.edu/legal/open-records>  
<https://www.uky.edu/legal/open-meetings>
10. Staff Policies and Procedures Manual  
<http://www.uky.edu/hr/policies/>
11. Business Procedures Manual  
<http://www.uky.edu/ufs/business-procedures-manual>

## **VIII. FACULTY FILES AND PERSONNEL RECORDS**

The Chair of the DTCB, and each DTCB faculty member, shall jointly maintain a unit personnel file for each DTCB faculty member. The Department Chair shall place in this file copies of all records and documents issued or received by the Department Chair concerning the academic status or activities of that faculty member, and any other document required by applicable laws or university regulations (AR 2:1-2.F). The Department Chair 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 DTCB, 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. The faculty member shall be responsible for placing into the file, at least once per year, an updated C.V., and other evidences of creative productivity the faculty member deems appropriate. 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.

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.

## IX. AMENDMENTS AND APPROVALS

Proposed amendments to these Rules of Procedures shall be dated and circulated ten (10) working days prior to the faculty meeting, except as noted otherwise below. No proxy votes will be accepted.

### A. Rules, Procedures and Committee Structure for Educational Policy-Making.

In accordance with GR VII.E.5.b the portions of the Rules of Procedures for the DTCCB that concern faculty committees and educational policies and procedures for instructional, research and service programs may be amended by the Core Faculty. The voting shall be at regular or special Core faculty meetings and approved by a two-thirds majority vote of eligible voters present. After approval by the Faculty, the rules and committee structure for educational policy-making are forwarded by the Department Chair to the Dean and Provost for approval for consistency with higher University regulations. After final approval by the Provost the approved rules are repositied with the University Senate Council Office for posting on its web site.

Most recent date of:

Faculty Approval (chair signature confirmation): \_\_\_\_\_ (May 21, 2019)

Dean Approval (for consistency with higher regulations): \_\_\_\_\_

Provost Approval (for consistency with higher regulations): \_\_\_\_\_

### B. Rules and Procedures for Personnel Actions.

In accordance with GR VII.E.5.c, after joint approval by the Faculty and the Department Chair, the Department Chair forwards to the Dean and Provost for further approval, both for substance and for consistency with higher University regulations. After final approval by the Provost the document is repositied with the University Senate Council Office for web posting on its site.

Most recent date of:

Faculty/ Department Chair Joint Approval: \_\_\_\_\_ (May 21, 2019)

Dean Approval: \_\_\_\_\_

Provost Approval: \_\_\_\_\_

- C. **DTCCB Administrative Procedures.** In accordance with GR VII.F.2.e, the Department Chair in consultation with the faculty determines the portions of the Rules of Procedures of the DTCCB that are purely management in nature. These parts are changed or deleted as the department chair determines appropriate.

## X. CRITERIAL EXPECTATIONS FOR LECTURER AND SENIOR LECTURER RANKS

### Lecturer: Criterial Expectations.

For the rank of Lecturer, in addition to possessing an appropriate terminal degree or equivalent, the individual shall meet the following expectations:

- (1) Teaching, Course Development and Program Development
  - Potential for, or demonstrated capability for, excellence in teaching as attested to by colleagues, peers and students at the local level.

- 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.
- Effective teaching/Instructor of Record in 800-900 level courses in the Professional Master's program.

(2) University Service.

- Commitment to effective participation department policy-making and on key curriculum or administrative committees.

(3) Professional Development

- Commitment to continuous assessment and improvement of professional educational skills, including accumulation of skills or abilities to enhance departmental and college contributions, as demonstrated by participation in meetings, seminars, or workshops.

**Senior Lecturer: Criterial Expectations.**

In addition to meeting the criteria for Lecturer, appointment or promotion to the rank of Senior Lecturer shall require demonstration of continued achievement and recognition as a leader in Instruction and academic endeavors. According to AR2:9 promotion to Senior Lecturer requires 5 year continuous service as Lecturer. The candidate shall meet the following expectations:

(1) Teaching, advising and other instructional activities

- Evidences toward high achievement in instruction will include activities in
  - \_ established curricula,
  - \_ non-curricular student-contact and advising activities,
  - \_ development of new courses/curricula, and/or
  - \_ non-contact activities such as admissions or program review committees.
- The evidences of quality of instructional area achievement will be those showing
  - \_ value by students and esteem by peers,
  - \_ academic and career success of taught students and mentees, and/or
  - \_ establishment and implementation of innovative degree programming

(2) University service

- Effective participation in policy-making decisions of department, college or University committees with evidences including adoption of recommendations into institutional policy, and enhancement of the educational mission.

(3) Professional Development

- Accumulation of skills or abilities to enhance departmental and college contributions, as demonstrated by participation in meetings, seminars, or workshops.