

DEPARTMENT of MICROBIOLOGY, IMMUNOLOGY AND MOLECULAR GENETICS
University of Kentucky
College of Medicine
RULES OF PROCEDURE

I. DEPARTMENTAL ORGANIZATION AND OVERVIEW

A. While not a formal part of the departmental regulations, a successful practical approach to departmental philosophy, organization and governance is in practice. Specifically, the Department of Microbiology, Immunology and Molecular Genetics functions as a consensus democracy or a benign autocracy depending on your point of view. In practice, the two tend to merge and become indistinguishable if the Chair functions effectively and successfully reads the pulse of the faculty. This Chair accepts the administrative responsibilities of the Chair but functions as any other faculty member with respect to academic issues. In addition, there are other parts of this document in which common practices are indicated. The Department has a Vice Chair appointed by the Chair.

B. This document, for the most part, covers only those issues related to faculty governance, where there is formal faculty participation in the process. Administrative areas, where the decisions are made directly by the Chair, without a formal process of faculty input, are for the most part not detailed. However, it is important to point out that the Chair seeks informal faculty advice and discussion on virtually all issues prior to making decisions. Examples of such issues include but are not limited to teaching assignments, space allocations, resource allocation, budget, Department, College and University committee assignments.

C. Budget Preparation: A Department budget is prepared yearly and a unit budget is prepared as required by the Dean's office and in accordance with College requirements. Budget requests are received from the departmental fiscal faculty. The Chair prepares the budget for the department in accordance with the University of Kentucky's Policy and Procedures. General budgetary issues may be discussed at faculty meetings. Student input is sought when appropriate.

D. The Department has the following standing committees: Executive Committee, Computer Committee, Seminar Committee, Faculty Evaluation Committee and Microbiology Educational Policies and Practices Committee. Other *ad hoc* committees are appointed as necessary. The departmental Chair appoints all Committee members and designates the committee chair. Committee members serve for three years and may be reappointed. In general, appointments are made with the goal of achieving representation of different research areas and of junior and senior faculty. Committee composition and functions are as follows:

- 1. Executive Committee:** Consists of three senior faculty members and is advisory to the Chair with respect to space allocation, utilization of Department funds and other areas where additional input is useful (meets as needed).
- 2. Computer Committee:** Consists of two faculty members, the Department computer specialist, a graduate student and the Department Business Manager and is charged with making recommendations to the Chair concerning the present and future use and expansion of computer facilities (meets when recommended by Chair).
- 3. Seminar Committee:** Consists of two faculty members and is charged with running the Department outside speaker seminar program.

4. Faculty Evaluation Committee: Consists of all Professors and Associate Professors and is charged with reviewing all junior faculty on a yearly basis and making recommendations for promotion/tenure consideration. For purposes of evaluating Associate Professors, the committee consists of only Professors. Meets yearly, plus as needed. The specifics of committee considerations are detailed below.

5. Microbiology Educational Policies and Practices Committee (MEPP): The MEPP committee is a committee, representing the Graduate Faculty of the Microbiology Graduate Program. The committee is chaired by the Director of the Microbiology Graduate Program (recommended by the Department Chair with appointment by the Dean of the Graduate School) and consists of four additional faculty members appointed by the Chair of the Department of Microbiology, Immunology and Molecular Genetics. In addition, there is one student member elected by the graduate students in Microbiology, Immunology and Molecular Genetics. Faculty appointments are made with the goal of achieving representation of different research areas within the Microbiology Graduate Program and of junior and senior faculty. This committee oversees all aspects of the Microbiology Graduate Program (meets as needed but generally monthly, see below for details).

E. The Department supports research in the areas of microbiology, immunology, cell and molecular biology, molecular genetics, and virology. Our goals are to: 1) facilitate research within the department with strong emphasis on development of junior faculty; 2) encourage, support and maintain stable research programs among senior faculty; and 3) encourage research collaborations within the Department, the University and the broader research community.

F. Departmental faculty serve on departmental, college, and university committees, as requested, with attention being given to assure a proper balance between assignments and the primary requirements for education and research.

G. The Department has substantial teaching commitments to Medical, Dental, Graduate, and Undergraduate students. Our major goal, in this area, is to provide a high quality learning experience for all students. In addition to its didactic teaching, the Department is firmly committed to mentoring graduate students and postdoctoral scholars and residents, providing research opportunities for undergraduate, dental and medical students, providing research opportunities, and training for junior clinical faculty

H. *Establishment and Modification of Rules and procedures:* Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution. New rules or procedures are generally implemented in compliance with changes in College and/or University changes. When the Department independently changes rules or procedures, it is generally after discussion and arrival of consensus at a faculty meeting or a vote, if called for.

I. *Copies of Rules:* All Governing and Administrative Regulations, Business Procedures, and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

II. FACULTY INFORMATION

A. Faculty Meetings

The Department has a monthly faculty meeting which serves several important functions including exchange of information among faculty and between the Chair and faculty, discussion of important academic and administrative issues and provides an opportunity for various committee Chairs and participants to bring issues to the faculty for their discussion and input. The meeting is chaired by the Chair and is run by Common Sense Rules of Procedure. All participants receive agendas (invitations) at least 24 hours prior to the meeting.

In the event that the Chair is not present and a meeting is held, it is chaired by the Vice-Chair. Faculty are informed of each forthcoming faculty meeting and given the opportunity to add agenda items. At the faculty meeting, faculty are also asked if they have any other issues, or questions that they wish to present. The faculty votes on issues relating to the formal Rules of Procedure and Guidelines for Graduate Education at this meeting. Also, careful assessment of faculty points of view and opinion is registered and forms the crucial element in subsequent decision making by the Chair. Minutes of each meeting are maintained in the Department Administrator's Office. Any faculty member has the right to call for a vote on any action issue. In the event of a vote, >50 % is required to pass a motion. The meeting is attended by all fiscal faculty (full faculty appointees in Microbiology, Immunology and Molecular Genetics), the Department business manager and active joint appointees. A modest lunch, consisting of sandwiches, is provided.

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

Quorum Necessary for Transaction of Business: Transaction of business requires a quorum of greater than 50% of the faculty. Action taken at meetings shall require approval by a majority vote of faculty members present and voting. Advance notice will be given, if possible, if an issue is to be voted on. In general, important issues will be discussed and voted on at a subsequent meeting.

Conformity to Open Meeting Act: The Department of Microbiology, Immunology and Molecular Genetics complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

B. Appointment of New Faculty

1. Regular Title Series

a. When a faculty vacancy arises, a decision as to the scientific/teaching area of the new faculty member is made by the Chair, after consultation with the faculty and assessment of the teaching and research needs of the Department and College. Based on the research/teaching area of the proposed faculty member, the Chair appoints a search committee, which may include at least one faculty member outside the Department. One member of the committee is appointed by the Department Chair to chair the Search Committee. The Search Committee is charged with providing the Department Chair with a list of two to three candidates in order of preference.

b. During the search process, the faculty are informed, at faculty meetings, of the progress of the search and candidates may be discussed at a faculty meeting. During visits of candidates, a seminar and chalk talk are presented and as many faculty as possible are provided with an opportunity to visit with the candidate. Once the list is narrowed to a few candidates, second visits, which may include a spouse or significant other, are conducted and faculty who previously did not meet with a candidate are generally provided such an opportunity. There is active interaction between the search committee and the Chair during the process. All faculty are encouraged to provide written evaluations of candidates to the search committee, as are individuals from other units, who meet with prospective faculty candidates. Based on the assessment of the Search Committee and faculty evaluations, the Committee provides a recommendation to the Department Chair. The Department Chair generally meets with the Search Committee or the Chair of the Search Committee to be informed of the basis for the choice(s) and generally proceeds to offer a position based on the recommendations of the Search Committee. If the Department Chair disagrees with the Search Committee, these differences are discussed with the Committee and an appropriate course of action is agreed upon. The ultimate responsibility for offering a position rests with the Chair;

however, when the Chair and Search Committee maintain an active and productive dialogue throughout the search process, agreement on the final candidate is generally a straightforward process.

2. Research Title Series

a. Faculty appointments to the Research Title Series in the Department of Microbiology, Immunology and Molecular Genetics reflect the usefulness and importance of providing opportunities for quality scientists to conduct research in areas that are synergistic with ongoing programs or that provide expertise and an intellectual base that will enhance Department programs or national stature. Research Title faculty are expected to initiate and maintain a research program "supported by contracts, grants, or other designated funds." In the Department of Microbiology, Immunology and Molecular Genetics, Research Faculty can be members of the Graduate Faculty. Research Faculty contribute service relating to their expertise to the Department and, as Graduate Faculty, serve on committees appointed by the Vice President of Research and Graduate Studies, and the Dean of the Graduate School.

b. As described in the University Regulations, Research Title Series appointments are of "limited and specified duration", and renewable, as defined by University regulations. Research faculty conducting research that enhances the breadth of research by individual Regular Title Series faculty typically will be given laboratory space within that occupied by that faculty member. If the research carried out by research faculty is completely distinct from existing programs, separate laboratory space may be provided. As with other faculty in the Department, the space provided is subject to review by the Chair.

c. Research title appointments are generally initiated by recommendation to the Chair by a faculty member who wishes to expand his/her research laboratory and has sufficient funds to do so. The prospective candidate(s) is initially reviewed by the faculty member; however, prospective appointees are required to give seminars and be evaluated by the faculty prior to appointment. Research faculty are evaluated by the senior faculty, as described for Regular Title Series faculty, with respect to promotion, reappointment, terminal appointment, etc, with modifications of evaluation criteria, as appropriate for this title series.

d. Areas of Activity of Research Faculty: Three areas of activity are important in the evaluation of individuals for appointment, performance review, and promotion in the Research Title Series: (1) research or other creative activity; (2) professional status and activity; and (3) ability to initiate and maintain a program of research or creative activity supported by contracts, grants, or other designated funds. Guidelines relative to the first two areas of activity are described under the Regular Title Series; guidelines for the third area of activity are well-established in that the contract, grant, or other source of designated funds shall cover salaries and costs of benefits for personnel, operating expenses, equipment, and overhead.

e. Academic Ranks, Titles, and Criteria of Research Faculty: The academic ranks and related titles in the Research Title Series shall be: (1) Assistant Research Professor; (2) Associate Research Professor; and (3) Research Professor. Although it is not feasible to specify exact criteria for evaluating the credentials of an individual for appointment or promotion to any one particular rank in the Research Title Series, the following statements are provided as guidelines.

i. Assistant Research Professor

Appointment to the rank of Assistant Research Professor shall be made when it has been determined that the individual has a current independent capability for conducting reliable research or other creative work supported through contracts, grants, or other designated funds, has a potential for significant

professional growth in the field of research or creative activity, and holds the terminal academic degree appropriate to the field of assignment.

ii. Associate Research Professor

Appointment or promotion to the rank of Associate Research Professor shall be made only after an indication of continuous improvement and contribution by the individual in research or other creative activity supported through contracts, grants, or other designated funds. Furthermore, the individual shall have earned some regional recognition for excellence appropriate to the field of assignment.

iii. Research Professor

Appointment or promotion to the rank of Research Professor is an indication that, in the opinions of colleagues and administrators, the individual is outstanding in research or other creative activity supported through contracts, grants, or other designated funds and has earned national and, perhaps, international recognition. It should be further emphasized that this rank is a recognition of attainment rather than years of experience or length of appointment.

3. Joint Appointments

a. The Department of Microbiology, Immunology and Molecular Genetics has a positive attitude toward the joint appointment of faculty from other departments where there is potential for mutual benefits from such appointments. Examples of such mutual benefits include participation of the joint appointee in the teaching, graduate education, and research programs of the Department. Joint appointments are made for five-year periods and are renewable based on continued mutual interests and evidence of participation of the joint appointee in programs in Microbiology, Immunology and Molecular Genetics. Joint appointments are made by the Chair with the advice of the senior faculty. Each prospective joint appointee is required to submit a CV, a letter outlining his/her reasons for desiring a joint appointment and present a research seminar. The Chair distributes the CV and letter outlining the prospective joint appointee's reasons for desiring a joint appointment to the senior faculty, who meet after the completion of the seminar. If, based on the discussion of the joint appointee by the senior faculty, the Chair decides not to offer a joint appointment then the prospective joint appointee is so informed. If a joint appointment is offered, a dossier is prepared and submitted to the Dean of the College of Medicine for appropriate action.

b. All joint appointments are for a five-year period and are renewable based on a continuing mutual interest between the department and the joint appointees. Prior to the five year renewal period, the Chair sends each joint appointee notification, of the pending end of his/her appointment, and requests a letter indicating whether or not the individual is interested in continuing the joint appointment, and, if so, what the appointee anticipates the basis of the continuing relationship, with the Department, will be. The Chair and the Senior Faculty review these letters and the past performance of the joint appointees and decide on their reappointments.

4. Post-retirement appointments

Post-retirement appointments are made on an individual basis in consultation with the Dean of the College of Medicine.

C. Distribution of Effort

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

D. Mentoring for New Faculty

All new faculty will have a mentoring committee consisting of a Chair and two additional faculty members one of whom should be a member of the Department. The Chair will be appointed by the Department Chair with the advice and consent of the new faculty member. The remainder of the committee will be appointed by Department Chair with the advice and consent of the Chair and the faculty member. The committee will be expected to provide ongoing support and advice for the faculty member on an informal as needed basis. In addition, the Committee will meet with the faculty member every two months in a more formal manner to discuss research focus, problems, publications, review grant and publication critiques consider timing for grant submissions, discuss teaching, etc., throughout their probationary period. The committee will provide the Department Chair with a general assessment of the faculty member's progress on a yearly basis and will notify the Chair as necessary if there is anything the Department Chair can do to support or help advance the faculty members career and progress toward promotion and tenure.

E. Faculty Evaluations

1. All Assistant Professors are evaluated on a yearly basis with respect to performance and progress to promotion and, for Regular Titles Series faculty, tenure, by a Faculty Evaluation Committee consisting of the senior faculty (Associate and Full Professors) under the direction of the Chair. Associate Professors are reviewed by a similar committee consisting only of the Full Professors. Full Professors are reviewed by the Chair.
2. For the review process, all faculty are required to provide updated CV's to the evaluation committee as well as being given the opportunity to provide any additional information that they believe would be germane to their evaluations. In the case of Assistant Professors, the review concentrates on performance elements involved in the advancement to promotion and, for Regular Title Series faculty, tenure, as outlined in the Department guidelines (Addendum I for Regular Title Series Assistant Professors). Publications, intramural and extramural grant activity, teaching, service and cooperation are all discussed and appropriate written recommendations provided to the faculty member. In evaluation of Associate Professors, similar areas are considered but additional emphasis is placed upon national and international activities and recognition and broader participation and leadership within and outside the University community, as outlined in the Department guidelines (Addendum II for Regular Title Series Associate Professors). In the case of Full Professors, the Chair again considers similar activities but with the expectation of enhanced activity and leadership by Full Professors.
3. During the discussion of each faculty member, the Chair takes notes and a consensus evaluation and recommendations are agreed upon for each evaluatee. Based on the discussion, the Department Chair prepares a written evaluation and recommendations for each faculty member. The Department Chair prepares a similar evaluation with appropriate recommendations for each Full Professor. Information that emerges from this process is used by the Chair in the distribution of effort assignments and merit increases.
4. While the evaluation and recommendations concentrate on the prior year's activities, previous performance is also considered as areas such as publications and grants often show substantial differences from year to year that are less reflective of overall performance than is faculty activity over a longer time period.

5. The Chair provides each faculty member with a copy of his/her evaluation and meets with each individual to discuss the evaluation. At this time, any areas of the evaluation, with which the faculty member disagrees, are discussed and, if appropriate, changes in the numeric and/or written evaluation and recommendations are made. The numeric evaluation form and written evaluation and recommendations are then submitted to the Dean. In the rare event that the Chair and the faculty member can not agree upon the evaluation, the faculty member certainly has the right to meet directly with the Dean.
6. The Department Chair meets with the Dean to discuss evaluations and, if changes are requested by the Dean, they are discussed and appropriate modifications made. If modifications are required as a result of the meeting of the Chair and Dean, the Chair would then meet again with the faculty member to discuss such modifications.
7. As part of the evaluation process, the evaluation committee makes recommendations to the Chair for reappointment or terminal appointment of faculty, and for consideration of promotion from Assistant Professor to Associate Professor, with tenure for Regular Title Series appointees, or from Associate Professor to Full Professor. Such recommendations are acted upon by the Chair, as outlined in the following section, Promotion and Tenure Process.

F. Promotion and Tenure Process

Faculty are recommended for reappointment, promotion, and tenure by the Department Faculty Evaluation Committee after a thorough discussion of the faculty member's credentials, as discussed in the description of faculty evaluations above. Upon receipt of such a recommendation, the Chair meets with the faculty member and provides him/her with a memo outlining the information needed to assemble an official promotion dossier to send to the Dean's Office. The faculty member is asked to provide a list of students, faculty in other UK departments and faculty experts, from other institutions, to participate in the faculty member's review. The Chair selects some individuals from this list and adds additional reviewers, as deemed necessary so as to provide a fair and impartial evaluation. The purpose is to obtain an "arms-length" review of the scientific contributions and qualifications of the faculty from independent experts, who are well respected colleagues at other institutions. The faculty member is also asked to provide four representative publications to be sent to the outside reviewers. The Chair then sends an updated CV to appropriate students and appropriate faculty, in other UK departments, with a detailed memo asking for their input into the evaluation process. Similarly, a CV, four representative publications and a cover letter are sent to the outside reviewers for their evaluations. All of the evaluation letters, as well as student teaching evaluations, faculty teaching evaluations, etc., are collected and made available to all tenured members of the department and all full-time, non-tenured faculty members with the actual or equivalent rank of Assistant Professor or higher, who have been members of the department for at least two years, for their assessment. Faculty members who are appointed in the Research Title Series are excluded from this category. Each faculty member is then asked to provide the Chair with a letter of support. When the dossier is complete the Chair evaluates overall support, on the basis of departmental faculty letters, outside letters etc. and if there is strong support for tenure and/or promotion the dossier is submitted to the Dean. If there is not strong support then a meeting is called to decide whether to submit the dossier or delay its submission. The senior faculty (Professors and Associate Professors, in the case of promotion from Assistant to Associate Professor; and Professors, in the case of promotion from Associate Professor to Professor) meet to make a final decision on whether or not to submit the dossier to the Dean's Office. At that meeting, the Chair decides, based on the opinions and/or a vote of the faculty (>50%) whether the dossier should be sent to the Dean. We have never had a faculty member who wanted his/her dossier forwarded over the objections of the senior faculty and/or Chair; however, in the event that occurred, we would do so. Moreover, while we do not routinely provide faculty members with the opportunity to appear before the committee (nor has any faculty member ever asked to appear before the committee) faculty would be granted such an opportunity if they requested it.

III GRADUATE AND MEDICAL EDUCATION

A. Microbiology Educational Policies and Practices Committee (MEPP)

The MEPP committee is a committee of the Graduate Faculty of the Microbiology Graduate Program and is constituted, as described in section I. This committee oversees all aspects of the Microbiology Graduate program. Some of the major responsibilities of this committee include the recruitment of new students into the graduate program, in rare instances directly, but generally from the IBS program; and proposals for the modification of existing education policies and the formulation and implementation of new policies and practices relevant to the graduate program including curriculum, laboratory rotations, qualifying exams. New or modified policies are brought to the graduate faculty at a faculty meeting for discussion and adoption. In addition, the MEPP Committee reviews the progress of each graduate student, on a yearly basis, at the end of the academic year. Any student found to be having academic problems is asked to appear before the committee to discuss the nature of his/her difficulties and generally given one additional year in which to correct the problem or be dismissed from the program. The committee convenes each month, the day prior to the general faculty meeting and the day after the Graduate Student Council Meeting.

- Note that with the inception of the Integrated Biomedical Sciences (IBS) program, effective for the Fall, 2001 entering class, the primary responsibility for student recruitment and overseeing graduate students during their first year has been delegated to the IBS program. Students matriculate in Microbiology, Immunology and Molecular Genetics after the completion of the year 1 IBS curriculum. The IBS curriculum, student recruitment, etc., is overseen by a series of committees chosen by the Chairs of the participating departments, with the overall control of the program vested in the Basic Sciences Chairs.

B. Graduate Student Council

The Graduate Student Council consists of four to five graduate students, one from each year, two through four and five-infinity from the Microbiology Graduate Program, elected by their peers to deal with issues related to the Microbiology Graduate Program, courses, faculty-student interactions, student participation in the Program etc. student requirements, curriculum, etc. In addition, the individual elected as a representative on the MEPPS committee will also serve on the graduate council. The monthly graduate council meeting is chaired by the Director of the Microbiology Graduate Program. In this way, issues of importance to our graduate students are then brought to the MEPP Committee meeting, the next day, by the Director. If necessary or of interest, the issues are then brought to the attention of our faculty the following day at the general faculty meeting. Any decisions made by the faculty are conveyed to the graduate council by the Director. This approach allows for a continuing dialogue between the faculty and our students with the aim of continuing to strengthen the Microbiology Graduate Program.

C. Medical Education

Other areas of particular importance to the mission(s) of the Department are monitored, with great care, but without an elaborate review process within the department. A mechanism illustrative of this approach relates to the monitoring of medical education. Courses that are coordinated by one departmental faculty member typically are attended by the course director to gauge the flow of concepts and the quality of teaching. In addition, faculty not involved in the course, are encouraged to attend several lectures by their colleagues to provide additional guidance. The opinions, of the attending faculty, are considered in the yearly faculty reviews. The progress of the medical courses and any innovations, suggestions or problems are discussed at monthly faculty meetings. Longer-range issues of curriculum development also are discussed in this forum, as well as during course-development meetings held among course directors and faculty participating in teaching the courses. Microbiology, Immunology and Molecular Genetics graduate students also contribute to the departmental medical

education mission by offering their services as tutors and by helping in the laboratories for the Immunity, Infection and Disease course for the Medical Students. Where appropriate, the department has representation on the College of Medicine curriculum review committee and so assessment of medical student education is, in part, a component of broader College of Medicine review. The Department, when possible, provides elective course opportunities for medical students. The Department of Microbiology, Immunology and Molecular Genetics is an active participant in the M.D./Ph.D. program at UK. MI Faculty help recruit students interested in this program and serve as mentors for interested, talented students. The Department offers quality advanced research training for clinical fellows in Dentistry and Medicine in its many medically related research programs. In addition, the Department offers training opportunities/mentoring for junior clinical faculty in Medicine and/or Dentistry who wish to develop a research program.

D. Graduate Education

1. Teaching Assignments

Teaching assignments with respect to course coordinators for undergraduate, graduate and medical courses are made by the Chair usually after discussion with selected faculty. Once course coordinators have been assigned, it is their responsibility to choose faculty to participate in the course. In general, the Chair does not get involved in assigning lectures within a course unless it is necessary. The Chair periodically assesses the teaching obligations of all the faculty to maintain a fair distribution of teaching effort.

2. Curriculum

Major curricula changes are discussed at faculty and MEPP meetings and implemented by the Chair based on faculty consensus or a vote of the faculty, if requested. Issues pertaining to individual courses such as handouts, exams, content, etc., are generally handled by the Course Coordinator/Director and the participating faculty. A consensus is generally reached among all faculty teaching in the courses regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the assistance of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

3. Class Schedules

The class courses offered by the Department are outlined in the graduate bulletins of the University of Kentucky.

4. Evaluations of Courses

The Course Director of Graduate Courses provides a questionnaire/mechanism for evaluating courses and faculty participating in these courses, to the students and prepares a summary of these findings for the Departmental Chair. Both the original evaluation and the summary are maintained on file in the Department office. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings. In the case of Medical and Dental Courses course and faculty evaluation is handled by the Colleges of Medicine or Dentistry and the information made available to the Chair, Course Coordinators and individual faculty.

ADDENDUM I Promotion and Tenure Guidelines for Assistant Professors, Regular Title Series. As specified in AR II-1.0-1 of the University's Policies and procedures manual, faculty members in the Regular Title Series will be evaluated for appointment at the level of Associate Professor and promotion from Assistant Professor to Associate Professor using four basic criteria. These involve their performance in: 1) teaching, advising and other instructional activities; 2) research and other creative activities; 3) recognition; and 4) professional, university and public service. More specifically, the expectations for promotion in the Department of Microbiology, Immunology and Molecular Genetics are interpreted from the ARs as:

1. Teaching, advising and other instructional activities: Faculty are required to participate in the teaching of departmental courses, IBS courses and seminar programs. Teaching will be assessed through a combination of written evaluations by colleagues participating or monitoring the course, and by student evaluations. Furthermore, it is expected that faculty will take an active role in mentoring graduate students, and, where possible undergraduate students. This would include serving as either primary mentor of a graduate student or serving on graduate student committees. Evaluation of mentoring accomplishments will be made through analyses of track records of graduated students and solicited letters from present and former students. Minimally, it is expected that the ratings for teaching and mentoring are good based on a composite of peer and student evaluations.

2. Research and other creative activities. Faculty are required to develop an independent and nationally recognized research program. The parameters to be used in evaluating the prominence of a research program will include: A solid track record of high quality publications as a principal author in peer reviewed journals. It is expected that the faculty member will average at least one manuscript per year, as the corresponding author in a high quality, peer-reviewed journal. Collaborative research and resultant joint publications are encouraged and will be weighted appropriately, based on the actual contributions, in evaluation of research. As a general rule, at least 5 manuscripts should be derived from research performed at the University of Kentucky.

3. Recognition:

- a) A strong track record of independent extramural research grant support from peer reviewed funding agencies such as NIH, DOD, AHA, DOE and NSF. At the time of promotion, the faculty member should be the P.I. of an R01-like grant from at least one of these funding agencies. Ideally, a faculty member should have had an extramural grant renewed or a second extramural grant funded.
- b) Invitations to present research at national and/or international conferences.
- c) Participation in the peer review process and/or journal article reviewing or editorial responsibility.
- d) Guest lectures at Universities or Research Institutes.
- e) Outstanding impact (citation index) of journal articles.
- f) Peer acknowledgement through solicited letters from leaders in the faculty member's area of research

4. Professional, university and public service: Service to the University, College of Medicine, the Department and community at large will be assessed by evaluating the track record of the faculty member's participation in university committees, college committees, departmental committees and community services.

It is important to recognize that these are guidelines and not strict definitions for promotion. Exceptional or outstanding performance in one area can compensate for lesser performance in another area.

ADDENDUM II Promotion Guidelines for Promotion from Associate Professors to Professor, Regular Title Series

As specified in AR II-1.0-1 of the University's Policies and procedures manual, faculty members in the Regular Title Series will be evaluated for appointment at Full Professor and promotion from **Associate Professor to Professor** using four basic criteria. These involve their performance in: 1) teaching, advising and other instructional activities; 2) research and other creative activities; 3) recognition; and 4) professional, university and public service. In general, at the level of Professor compared to Associate Professor we expect a more mature and fully developed faculty member as evidenced by research program breadth, funding strength, expanded recognition, and expanded leadership in education. More specifically, the guidelines for promotion in the Department of Microbiology, Immunology and Molecular Genetics, are interpreted from the ARs as:

1. Teaching, advising and other instructional activities: Faculty are required to participate in the teaching of departmental courses and seminar programs. It is expected that faculty members will have shown leadership by playing an active role in the design and implementation of Departmental courses through service as course director, as the primary instructor of a designated course or through their participation as a lecturer. Teaching will be assessed through a combination of written evaluations by colleagues participating or monitoring the course, and by student evaluations. Furthermore, it is expected that faculty will take an active role in mentoring graduate students, and, where possible, undergraduate students. This would include serving as either primary mentor of graduate students or serving on graduate student committees. Evaluation of mentoring accomplishments will be made through analyses of track records of graduated students and solicited letters from present and former students.

2. Research and other creative activities: Faculty are required to maintain an independent and nationally/internationally recognized research program. The parameters to be used in evaluating the prominence of a research program will include: A strong track record of high quality principal author publications in peer reviewed journals. The faculty member is expected to have a sustained record of publications, as the corresponding author in high quality, peer-reviewed journals. Collaborative research and resultant joint publications are encouraged and will be weighed appropriately, based on the level of participation, in evaluation of research.

3. Recognition:

- a) A strong track record of independent peer reviewed extramural research grant support from major funding agencies such as NIH, DOD, DOE, ACS, AHA and NSF. At the time of promotion, the faculty member should be the P.I. of at least one but preferable two RO1-like grant from at least one of these funding agencies. Also, as a demonstration of peer-acknowledged productivity, the faculty member should have a record of sustained extramural funding.
- b) Invitations to present research at national and/or international conferences;
- c) Invitations to chair symposia or sessions at national or international meetings
- d) Participation on editorial boards, study sections (as a permanent member or frequently invited *ad hoc* member), grant funding panels, etc.
- e) Outstanding impact (citation index) of journal articles
- f) Peer acknowledgement through solicited letters from leaders in the faculty member's area of research

4. Professional, university and public service: Service to the university, college of medicine, the department and community at large will be assessed by evaluating the track record of the faculty member's participation in university committees, college committees, departmental committees, community services and service in national and international professional organizations.

It is important to recognize that these are guidelines and not strict definitions for promotion. Exceptional or outstanding performance in one area can compensate for lesser performance in another area.