



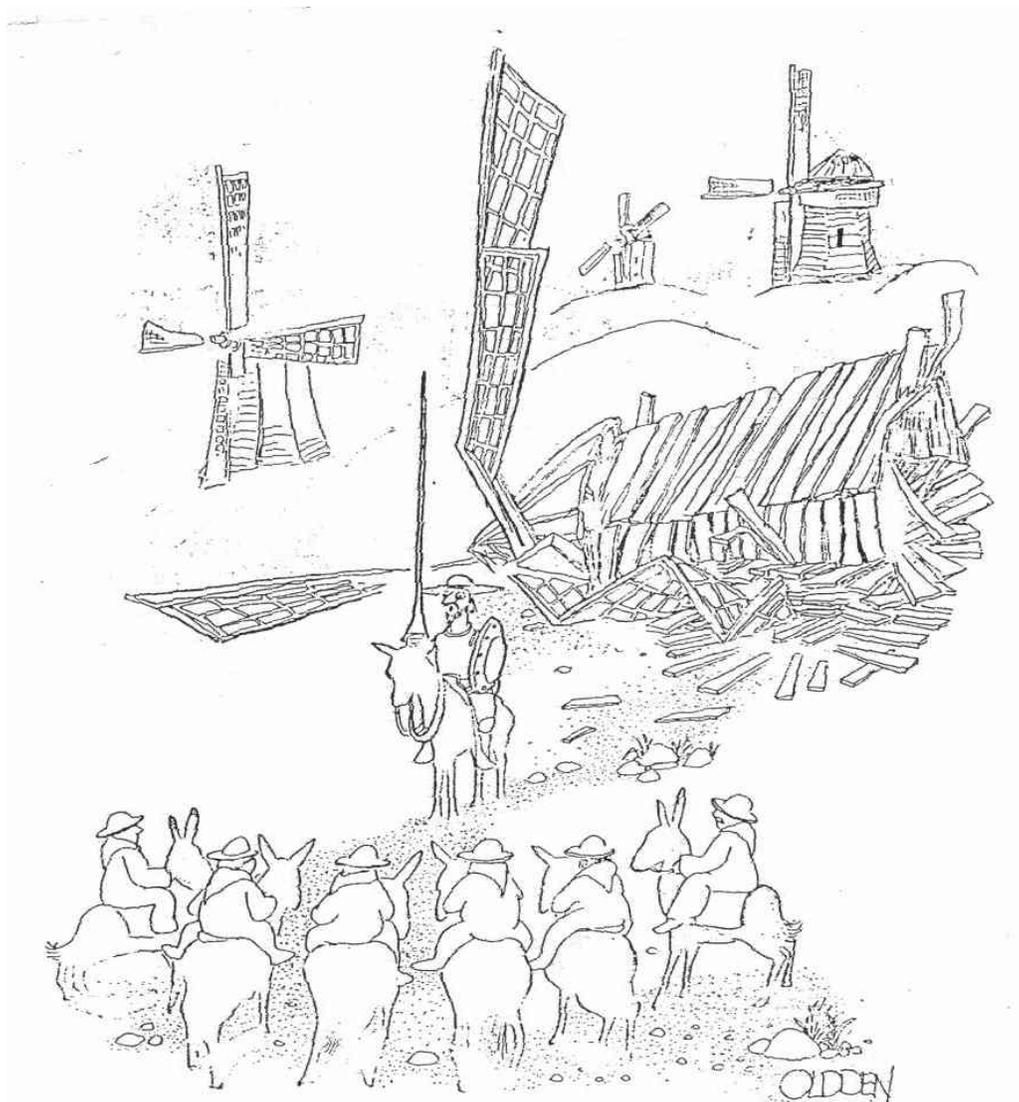
**American Association of University Professors  
University of Kentucky Chapter**

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**#10: UK AAUP Chapter Revitalization**

[Activities for Spring 2016](#)

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"So, you see, it's mainly a matter of timing and footwork."

## **#9 Responses of Arts & Sciences Faculty to the Futures Task Force Report (Spring 2002)**

[Report on the proposition to divide the College into three separate colleges. Statistics and comments \(pdf format\).](#)

## **#8: Tenured Faculty Review and Development Policy: DONE!**

[The Tenured Faculty Review and Development Policy as approved by the UK administration](#)

[The slight changes to the FMER process related to the TFRDP](#)

[How things stood after the Senate meeting of 13 November 2000](#)

[The Problem: the AR proposed by the administration doesn't reflect the will of the Senate](#)  
[Rationale for the changes that UK-AAUP proposes](#)

[The resolution to be considered by the University Senate on 13 November 2000](#)  
[The revised AR to be considered by the University Senate on 13 November 2000](#)

## **#7: UK-AAUP News (Spring 2000)**

[The Newsletter](#)

## **#6: A New Permanent Chancellor Now? (Spring 2000)**

[AAUP Resolution](#)

[Cover Letter to UK Board Members](#)

## **#5: Problems With UK's Medical Plan (1998 -- 2000)**

[Your Health: Prices UP, Care DOWN. \(Spring 2000\)](#)

[Report on Deficiencies \(1998\)](#)

[Recommendations \(1998\)](#)

## **#4: The Summer of Our Discontent (1999)**

[Chronology and Report on the Events Concerning Dr. Wethington and the Trustees](#)

## **#3: Tenured Faculty Review and Development (1994-2000)**

[Policy as Approved by UK Senate \(January 2000\)](#)

[Background - Historical](#)

[Senator Philpot's Proposed PTR Legislation](#)

[Senator Philpot's Press Release](#)

[An Open Letter to the Arts and Sciences Community](#)

[A&S Post-tenure Review Policy](#)

## **#2: Kentucky Higher Education Reform (1996)**

[Press Release: AAUP Response to Patton higher education proposal \(1996\)](#)

[Faculty Participation in the Pursuit of Higher Education Excellence \(1996\)](#)

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As you can see from the items below, the UK Chapter of the American Association of University Professors remained active until a decade ago. Since then our work has consisted mainly of aiding individual faculty members who had problems with administrators regarding academic freedom and/or tenure. (The Kentucky State Conference of AAUP has remained active, with yearly meetings and invited speakers.)

Part of the reason for local inactivity has been the absence of major issues involving faculty and the UK administration. As you can see from items #9 and #8 below, the last major issues addressed were the thwarting of a draconian post-tenure review process (followed by the installation of a reasonable one) and the question of whether the College of Arts and Sciences should be divided into three separate colleges (Arts and Letters, Social and Behavioral Sciences, Science and Mathematics).

Lately, a number of faculty members have expressed concerns regarding actions and policies of some University administrators. It appears that there is enough interest in revitalizing the UK Chapter, using some financial resources bequeathed to us by a former member of faculty, that we are planning a meeting in early spring.

If you are not a member, please consider joining or re-joining. For information about AAUP point your browser at [www.aaup.org](http://www.aaup.org). To join go to [www.aaup.org/join](http://www.aaup.org/join) where you will find an application form and the membership dues amounts – which are on a sliding scale based on salary.

**Survey of Arts and Sciences Faculty**  
**Assessments of the Report from the**  
**Task Force on the University of Kentucky Futures**

**Spring 2002**

**REPORT**

**Survey conducted by:**

**Michael Kennedy**  
**Associate Professor, Department of Geography**  
**Member, University Senate**  
**Member, Senate Council**  
**University of Kentucky**

**March 6<sup>th</sup>, 2002**

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## Executive Summary

In order to gauge the response of faculty members in the College of Arts and Sciences to the Report of the Task Force on the University of Kentucky Futures, Associate Professor Michael Kennedy devised and distributed a short survey (reproduced in the Appendix). The survey was distributed via the College's email list to 357 faculty members. A total of 176 responses were received.

The survey results show that the majority (72%) of Arts and Sciences faculty are not in favor of the Task Force's proposal to split the College into three new colleges (Arts and Letters, Social and Behavioral Sciences, Science and Mathematics). The strongest opposition is found among those faculty who would be in the proposed College of Arts and Letters (95.2% not in favor). Among those who would be in the proposed College of Social and Behavioral Sciences, 73.7% are not in favor of the restructuring, while those who would be in the proposed College of Sciences and Mathematics are nearly equally split: 50.7% are in favor of the proposed restructuring of the College of Arts and Sciences, while 49.3% are not. Nine respondents either left this question blank or wrote 'undecided'. Their data are not included in the tables and graphs. Analyses by rank show that from lecturers to full professors, the majority opinion is against college restructuring. Data is also provided across ranks by membership in the proposed colleges.

In addition to answering the survey's questions, 139 respondents also provided written comments on aspects of the Task Force's complete Report. There were 31 written responses from faculty who checked "In Favor" to Question 5 of the survey; 100 responses from those "Not in Favor"; and eight responses from those who did not answer the question or who were undecided. The final section of the report includes these written comments. For those in favor of the restructuring, reasons commonly offered included: (a) providing a structure that would give each of the colleges a stronger voice on campus; (b) creating coherence among a diverse and now-too-large set of units; and (c) the need for some sort of change to energize the college. Those opposed tended to focus on: (a) the importance of a liberal arts and science education for producing knowledgeable, civic minded, and critical-thinking undergraduate students; (b) the potential damage to interdisciplinary programs; (c) the unnecessary duplication of administrative infrastructure; and (d) the negatives associated with the establishment of a relatively poor college of arts and letters. Undecided or 'no answer' respondents tended to focus on the need for more information and further study, an opinion also echoed by many of those opposed to the restructuring. Finally, it is noteworthy that although the survey did not specifically poll faculty on the Task Force's "Areas of Investment," many elected to provide written comments on its recommendations. The vast majority of these comments were highly critical of both the process and the results.

## 2. Background to the Survey

The impetus for the survey was the publication of a document titled “Revised Draft. A Report from the Task Force on the University of Kentucky Futures: Faculty for the 21<sup>st</sup> Century” (<http://www.uky.edu/Futures>) and its presentation at two meetings on February 22<sup>nd</sup>, 2002.

The report contained far-reaching proposals regarding areas of scholarship identified as priority areas for funding, and regarding the restructuring of academic units. From comments made at the public meetings, it seemed that of particular interest to many faculty from Arts and Sciences was the proposal to split the College into three: a College of Sciences and Mathematics; a College of Social and Behavioral Sciences; and a College of Arts and Letters. In order to accurately gauge the opinions of the faculty directly affected – i.e., those in Arts and Sciences – and to provide an opportunity for anonymous feedback on this issue, a survey was designed and conducted between February 25<sup>th</sup>, 2002 and March 2<sup>nd</sup>, 2002. The relatively short turnaround time of this survey was essential in order to convey the results to the Task Force for use in their deliberations.

On February 25<sup>th</sup>, 2002 the survey form (see Appendix) was sent by Prof. Michael Kennedy via e-mail to every faculty member in the College of Arts and Sciences. A follow-up message inviting those who had not yet responded to do so, was sent on February 28<sup>th</sup>, 2002. Responses were received via e-mail and, in a few cases, via campus mail or hand-delivery.

The responses were collated and tabulated and this report was prepared to provide a description and analysis of the responses. The identity of individual respondents is not revealed in this report. In cases where written comments appeared to disclose the identity of the faculty member, deletions were made to preserve anonymity.

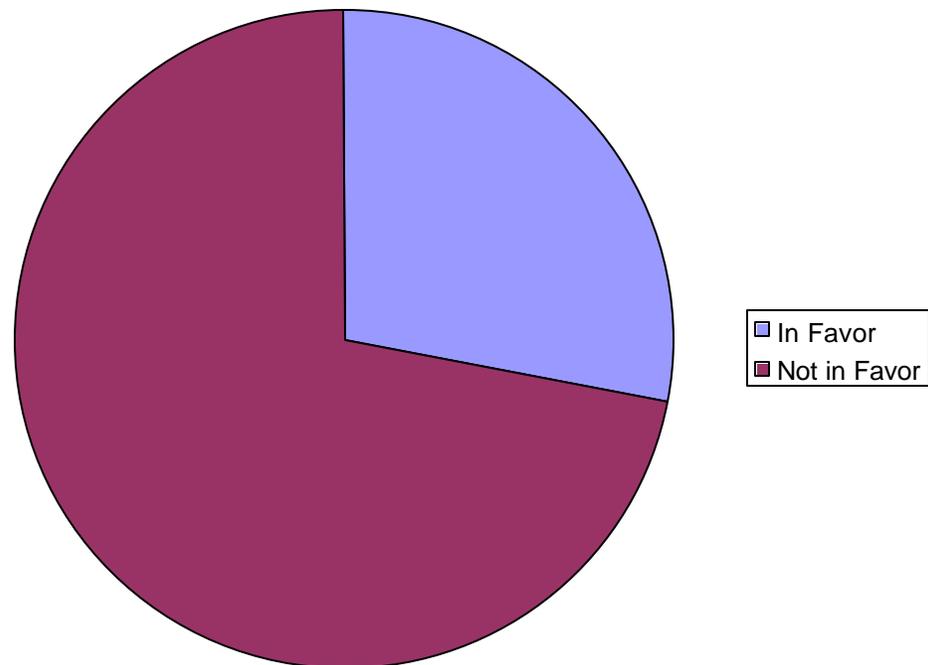
### 3. Survey Responses

The survey was sent to 357 faculty in the College of Arts and Sciences; 176 questionnaires were returned, for a response rate of 49 percent. The responses to questions 2, 3, and 5 of the survey (see Appendix) were tabulated and cross-tabulated. The results of these analyses are shown in tables, pie charts, and bar graphs in the sections below.

#### A. Overall Results

Of the 168 respondents who answered “In Favor” or “Not in Favor” to Question 5, 121 checked that they were not in favor of the proposed restructuring of Arts and Sciences, while 47 checked that they were in favor. These data are presented below in a pie chart.

**Are you in favor of the proposed restructuring?**

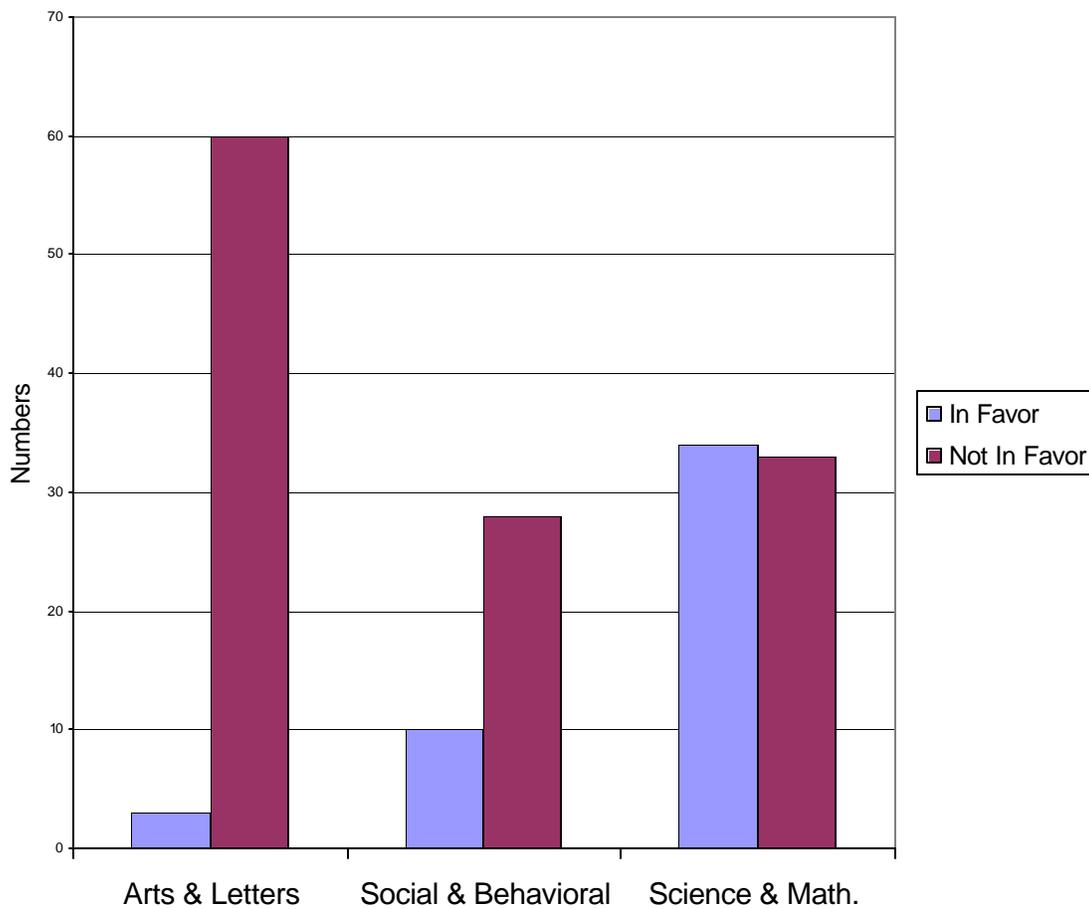


It is clear that a majority of survey respondents are not in favor of the restructuring of Arts and Sciences.

## B. Summary of Survey Responses: By Proposed College

New College Area		In Favor	Not in Favor	Total
<b>Arts &amp; Letters</b>	No.	3	60	63
	%	4.8	95.2	100.0
<b>Social &amp; Behav.</b>	No.	10	28	38
	%	26.3	73.7	100.0
<b>Science &amp; Math.</b>	No.	34	33	67
	%	50.7	49.3	100.0
<b>Total</b>	No.	47	121	168
	%	28.0	72.0	100.0

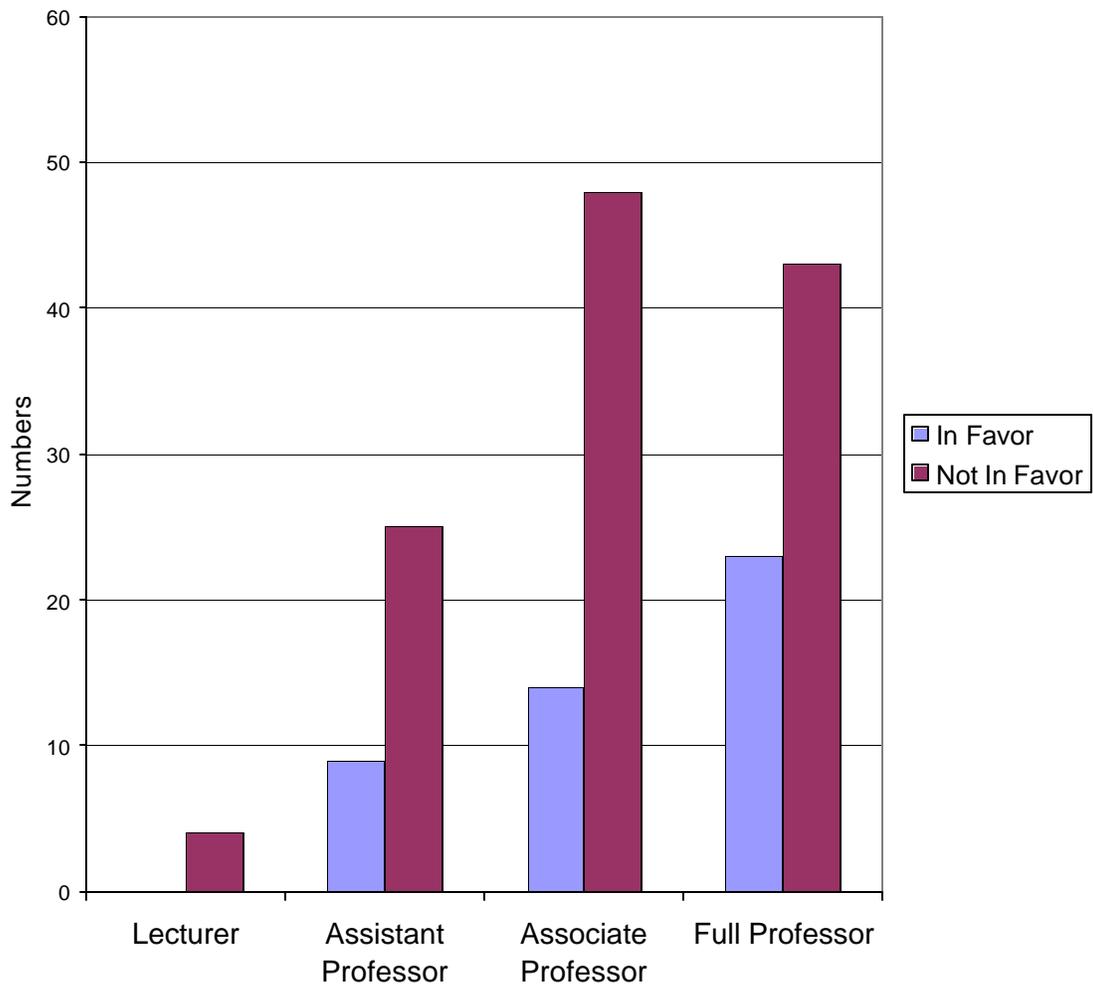
### Survey Responses by Proposed College



### C. Summary of Survey Responses: By Rank

<b>Rank</b>		<b>In Favor</b>	<b>Not in Favor</b>	<b>Total</b>
<b>Lecturer</b>	No.	0	4	4
	%	0.0	100.0	100.0
<b>Asst. Professor</b>	No.	9	25	34
	%	26.5	73.5	100.0
<b>Asso. Professor</b>	No.	14	48	62
	%	22.6	77.4	100.0
<b>Full Professor</b>	No.	23	43	66
	%	34.8	65.2	100.0
<b>Total</b>	No.	46	120	166
	%	27.7	72.3	100.0

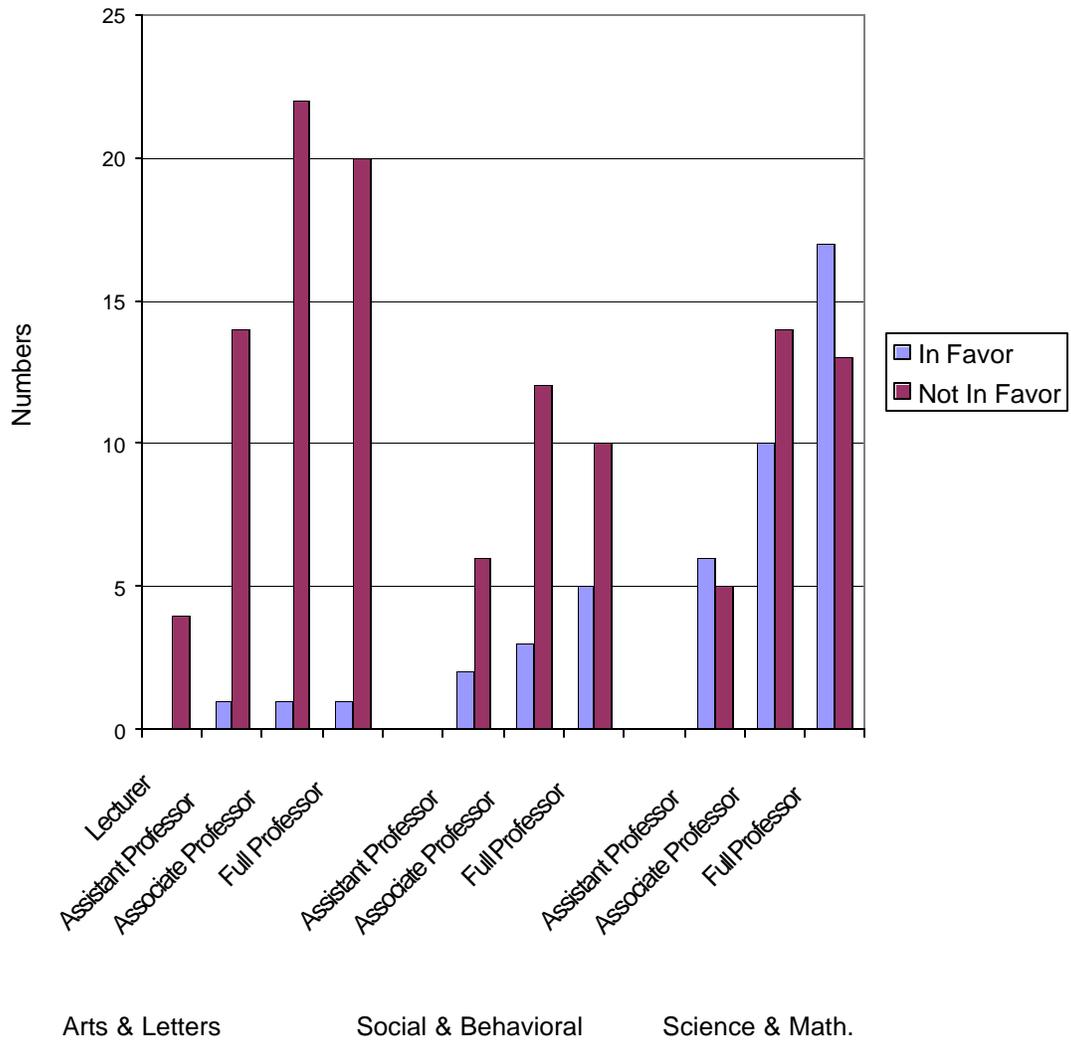
### Survey Responses: By Rank



## D. Summary of Survey Responses: By Proposed College/Rank

New College Area by Rank	In Favor	Not in Favor	Total
<b>Arts &amp; Letters</b>			
Lecturer			
No.	0	4	4
%	0.0	100.0	100.0
Asst. Professor			
No.	1	14	15
%	6.7	93.3	100.0
Asso. Professor			
No.	1	22	23
%	4.3	95.7	100.0
Full Professor			
No.	1	20	21
%	4.8	95.2	100.0
<b>Social &amp; Behav.</b>			
Asst. Professor			
No.	2	6	8
%	25.0	75.0	100.0
Asso. Professor			
No.	3	12	15
%	20.0	80.0	100.0
Full Professor			
No.	5	10	15
%	33.3	66.7	100.0
<b>Science &amp; Math.</b>			
Asst. Professor			
No.	6	5	11
%	54.5	45.5	100.0
Asso. Professor			
No.	10	14	24
%	41.7	58.3	100.0
Full Professor			
No.	17	13	30
%	56.7	43.3	100.0

### Survey Responses: By Proposed College and Rank



## **4. Faculty Written Responses (Total N = 139)**

### **A. Comments from Faculty Responding “In Favor” of Proposed Restructuring of the College of A & S (N = 31)**

\*\*\*\*\*

A&S currently is too large to have effective meeting of needs of science departments. Moreover, A&S leadership does not provide resources to the best departments, which, in my opinion, are those with the largest number of extramural grants and grant dollars, the largest number of graduate student-associated refereed publications, and one of the tier-1 programs of RCTF. With a college of sciences and math, we would have leadership that values these issues more than FTE equivalents for tuition.

\*\*\*\*\*

In my opinion, the present College of Arts & Sciences is a ridiculously under-funded, poorly led grab-bag of departments incapable of setting meaningful goals or making a case for adequate resources. In this situation, anything that shuffles the deck seems worth a try. I hadn't anticipated a 3-way split, but the proposal seems well worth exploring, given the other components to be added. For the Math/Science College to be viable, though, it would be essential to find an aggressive new dean capable both of actually listening and of providing leadership. I remain concerned about the relationship of the Medical Center and its academic departments to the rest of the campus and believe that reattaching the MC to the rest ASAP (as recommended) is crucial. By the way, like many of us I'm very disappointed that the environment did not emerge as one of the areas of emphasis. Given the very high level of expertise and interest in this essential area here at UK, this omission really needs to be addressed.

\*\*\*\*\*

It is about time to split between sciences and arts education in this campus. To have a focused group as well leader for science faculty is to the best interest of students as well as faculty.

\*\*\*\*\*

I have always felt that such an arrangement is a good idea. The interests and agendas of the departments of science and mathematics can be better represented in the new structure.

\*\*\*\*\*

I think the change is for the better so we can form more cohesive focus groups. Also I think the needs of the faculty in the different colleges will be directed better by the change.

\*\*\*\*\*

Overall, it's very difficult to be strongly for or against without having all the information (e.g., the budgetary impact of the breaking-up of the A&S college). However, I believe the social sciences could actually gain some resources and opportunities by the proposed restructuring. Thus, while it is too early to say that I'm strongly for the proposed restructuring, I'm definitely leaning in that direction.

\*\*\*\*\*

There is little reason for humanities, social sciences, and natural sciences to be in a single college other than historical reasons. The cultures of the different groups -- standards of scholarship, teaching loads, factors determining tenure, attitudes toward distribution requirements -- are highly divergent. Moreover, the interests of the different groups in A&S often diverge or are in conflict. If the colleges were smaller and more coherent, the deans could argue better for the resources each group needs to carry out its duties. Furthermore, the Communications and Fine Arts Colleges are very small and A&S is very large, and I think everyone's interests are served by having three colleges of more equal size. Finally, I find it hard to believe that the redistribution will be used as an excuse to starve any of the three groups, considering that all three had units that were included in the nine-targeted areas of scholarship. In short, I strongly support the recommendations.

\*\*\*\*\*

Moving units around will not necessarily create efficiency: it might create more administrative structure. Call the new college Sciences and not Sciences and Mathematics. A UK tradition is to allow committees to favor their own when making recommendations for changes: the basic sciences in the Medical Center and the Martin School received special treatment thanks to David Watt and Gina Toma, respectively. The recommendations with respect to these units should receive special scrutiny. I believe all basic science departments in the Medical Center belong to the proposed college of Sciences.

\*\*\*\*\*

(1) Would immediately get a new dean more interested in humanities; (2) Would start over with new formula for funding the college and its departments; (3) Language departments would be proportionally more significant in this new college; (4) The change would shake things up, and that's good in itself.

\*\*\*\*\*

I do not buy the idea that "bigger is better" when it comes to the College. As is, the comparison of scholarship across the various depts is like comparing apples and oranges. I see a clear benefit of more specialized Colleges that are "lean and mean."

\*\*\*\*\*

Greater advocacy for the sciences and mathematics. More opportunities for cross college efforts with other Colleges in terms of funding. The funding formula for the colleges needs to change lest we wind up in the same situation we are in now with A&S. Tighter set of University curriculum requirements so that UG students who want to change their College will not be penalized.

\*\*\*\*\*

The list of priority research areas looked very biased towards medical applications. In my opinion, environmental and manufacturing subjects could have a far-greater positive impact on the State's needs.

\*\*\*\*\*

If we are to improve the quality of teaching and research at UK we have to make changes in the structure of the university and the college. At this time the college is much too large a unit to make changes in a meaningful way. I don't know if the proposed structure is the best organization but it can't be any worse than the current structure. Also I think each unit should be free to suggest that it should be assigned to a different college.

\*\*\*\*\*

While I rather doubt that this particular modus operandi will in any decisive manner enhance the value of the Humanities vis-à-vis Garton Business School or the natural sciences, administrative factors, including current incompetence at the level of the Dean's Office, suggest to me that the above suggestion would, in fact, enable a capable person to run a more focused program, i.e., Arts and Letters, with a greater degree of skill and oversight.

\*\*\*\*\*

Under its current structure, A&S is simply too large and too difficult for any one person to fully understand and appreciate. We are already the weak sister in the university and I doubt that the re-structuring would make us any weaker.

\*\*\*\*\*

I think that the recommendation deserve a full and prolonged airing. The recommendations address many glaring anachronisms at the University and offers some provocative resolutions. After 27 years at UK, I think we need to seriously consider some major structural changes. An obvious one for folks in the natural sciences of A&S is to obtain a more focused administrative voice within a college that can be a more effective participant in campus, state, and national initiatives in science and technology. There are theoretical strengths of an A&S college, but the weaknesses in practice at UK are very evident, at least in my sector. Perhaps faculty in the humanities and social sciences feel that they have benefited by integrations of effort coordinated by A&S in the past (and, perhaps, in the future), but the natural sciences have not and they have suffered in comparison with units in other colleges whose leadership has been more focused (Agriculture, Engineering, Medical Center). The Task Force recommendations, while influential, are not binding. Implementation will require the full range of University processes, which will allow ample discussion of pros and cons. Let's encourage that discussion.

\*\*\*\*\*

Many fine schools use the A&S model, many fine others use the Math/Science plus Arts/Letters model. If one were clearly superior we'd all be using it. However, IF we are going to route IDC money into the Colleges, it is ESSENTIAL that we break up A&S. If we don't then those of us in fields that can generate IDC will be expected to fund the operations of other departments (perhaps not explicitly, but in effect). I know that the VP-Research (and past ones, as well) complained that IDC that was given to A&S (and to Engineering), ostensibly for research use, always ended up in the general fund, paying for activities only tangentially related to the original research target. If we don't narrow the focus of the Colleges, my IDC will be going to buy computers for other Departments, rather than into maintenance on the instruments needed to do the research to get the grants. The Departments that are generators of IDC are also the biggest consumers of IDC, and we need to ensure that the IDC that comes in is used to support the programs that generated it. To do otherwise is to "kill the goose that laid the golden egg." I categorically reject the argument that we need to keep A&S together so that we have more empty faculty lines that pad the Dean's budget. We need to get away from this idiotic mindset that empty faculty lines are a good thing. Empty faculty lines don't teach students, they don't do research, they don't provide service to the University or the State. Right now, under our current system, Deans are ENCOURAGED not to hire faculty so that they can use the salary savings. *Faculty are worth more dead than alive.* Break A&S up, realign the Departments into more cohesive groups. Get a new Dean, get him/her the funds needed to hire faculty when they're needed. Let's get on with it.

\*\*\*\*\*

On an overall basis, at least with regard to the plans for my department, I believe the restructuring represents an improvement. However, a major concern that I have is that

the grouping of departments based on where the lines of collaboration are CURRENTLY represents a somewhat short-sighted view of the current state of the disciplines involved. Does anyone really believe they can predict where the lines of collaboration will be twenty years from now? [Well, maybe in some cases, but in many others I suspect not]. So, I am NOT in favor of using current collaborative lines as the primary criterion for re-grouping of departments [and perhaps it has not been used as a primary criterion, but my impression is that it has been so used]. Also, it would seem to me the social and behavioral sciences are much more likely to collaborate with statistics [now and in the future] than would be the case for the natural sciences; consequently, I believe this department should be included with those in the new college of social and behavioral sciences.

\*\*\*\*\*

The undergraduate students majoring in the science curricula could not take necessary advanced courses because of heavy required courses and their laboratory facilities are archaic. Changes in the curricula are difficult if not impossible, because the college faculty is dominated by those from the liberal arts/humanity departments. Diversity has been mentioned often to keep the AS College, but we do not have the diversity in the undergraduate curricula.

\*\*\*\*\*

There are a couple of additional questions/concerns that I have. First, I see that there is a recommendation to transfer programs designated as "Graduate Centers" to larger programs which makes very good sense. In this regard, the Graduate Center for Nutrition would go the Medical School (seems logical) and the Graduate Center for Biomedical Engineering to the College of Engineering and this would potentially streamline academic units, thus saving money. However, why is the idea to move the Graduate Center for Toxicology out of the question? If the aim is to streamline administration, then it seems that this Center should be aligned with the Medical School, or some other program with similar strengths, or make this program a Department of Toxicology and place it under the new college of Science and Mathematics? Basically, I feel the same way regarding proposals for other "Centers" (p. 27: Graduate Program Centers). These other centers should be placed under established programs as departments (e.g., the Patterson School, the Martin School and Gerontology). As of now, the recommendations to keep these three (aforementioned) programs separate, seems out of place and unjustified and will not aid in streamlining academic units. The argument that doing so would somehow inhibit multidisciplinary efforts is not a strong one as faculty will typically reach out and establish collaborations to facilitate their own multidisciplinary efforts. Also, the inclusion of these schools within other programs, as departments, would likely reduce problems associated with decisions regarding which academic units should receive credit/indirects for grant submissions (multi-PI) and publications and better facilitate academic and research collaborations.

\*\*\*\*\*

Well, I haven't had a lot of time to digest this yet, but my initial response is quite positive. In my opinion, this is the most comprehensive, well-thought out, substantive restructuring proposal I have seen presented in my 16 years here. It has a real possibility of moving us ahead as a research university (which is, I am afraid, why some are opposed). I thought the objections raised at the Friday afternoon meeting were mostly petty politics of people predictably protecting their own privileged turf. It looked like many had made up their minds to oppose it before hearing the proposal, and certainly prior to giving it much thought. The objection about losing multidisciplinary foci is just short-sighted and provincial. The 9 areas of emphasis are clearly a new basis for building interdisciplinary work (though maybe new forms of such work and probably forms that are more amenable to acquiring external funding). The criticism that it is a corporate model is not, in and of itself, a reason to object. It strikes me as deriving lessons from the organizational structures of the corporate world that have permitted a more effective, specialized and flexible adaptations to a rapidly changing world. Similarly, there is no inherent reason why this would destroy undergraduate education or a liberal arts education. The university could remain committed to this and the president and provost could insist that each college maintain a commitment to cross college course work. For others, the problem may simply be that they don't want this to become a top research institution, but rather a mass undergraduate institution. I say we can, instead, develop in coincidence with this model, a more selective, higher quality undergraduate program and leave the mass college education to the regional state universities. Unless the state is really going to cough up the resources to fund mass undergraduate education here (the Wisconsin or Michigan model), and I don't expect that to happen. So, in short, I think this deserves a good look and not a knee jerk reaction of opposition. Though I also understand that such a change will negatively impact some in the university, the fact of opposition doesn't mean that it is a bad idea. Change often hurts, adaptation can be painful. But the present model is an outdated dinosaur that is dysfunctional given the rather lean resources this university is doomed to receive.

\*\*\*\*\*

A & S is too large to serve the needs of the students and faculty. As a result, the college is almost stagnant, and has been this way for the 20 years I've been here. Significant differences exist between the areas now in A & S. If the university is to move forward with a pro-active central administration, I can easily imagine that changes will be more easily implemented within small-scale colleges. Otherwise, it is likely to be business as usual, with nobody moving far from their present position due to the usual Inertia Factor common to every large organization. To miss this rare opportunity for significant program enhancements would be a serious blunder. A & S certainly has not, and most likely will not, be able to make the difficult decisions needed to make progress in the future. In short, I find the arguments that favor preserving the A & S 'community of scholars' to be as empty as the college's record of past accomplishments.

\*\*\*\*\*

I STRONGLY favor the proposed restructuring. A College of Arts & Sciences is an anachronism that should have disappeared long ago. It is based only on history, and not the current realities of higher education. Although some would like to pretend that there are common threads between the humanities and social sciences and the natural sciences, there are few. All you have to do is sit on a few College-wide committees to recognize that faculty from different areas think differently and have different academic values. If we really had common goals, values, etc. then all those in A&S would be evaluated similarly and we would not have the Area Committees structured as they are (physical sciences with engineering, for example). The Futures Task Force has done a good and courageous job; their recommendations should be supported.

\*\*\*\*\*

Perhaps the restructuring is not in the best interests of all Depts. or units in the College. However, I think it will benefit the physical/natural sciences & math. I hate to see all the hard work that A&S advising has done go down the tubes. They have made my job as DUS easier. I do not think it will restrict interdisciplinary interaction. We [...] already have many connections with Engineering and Ag. It wouldn't prevent us from also doing so with Anthro or Geography if they were in another college.

\*\*\*\*\*

The proposed restructuring will provide needed focus.

\*\*\*\*\*

Proposed reorganization would add more focus to college organization.

\*\*\*\*\*

It offers a way to consolidate scholars in the same discipline. (At present, we seem to have sociology in Agriculture, Arts and Sciences, Communications, Education, HES (Family Studies), and Social Work. We have two economics departments and three in behavioral sciences.) At the present Arts and Sciences, which by rights should be the center of the University, has the same voice as various small colleges. The proposal triples the profile of the current A and S.

\*\*\*\*\*

The College of Arts and Sciences is too big. There is no harm in trying restructuring it. The Futures Committee has identified 9 areas for future emphasis. They should broaden it to include several potential areas for top ranking. The idea is equivalent to putting all money in stocks that have 5 stars from Morningstar at the present time. The Committee

has side-stepped the most important issue of faculty salary situation of UK. First it should be remedied in order to aspire to be in the top 20.

\*\*\*\*\*

I do not think that the Humanities have done well under Social Science or Physical Science deans. They have not created a college where arts and humanities are co-equal with sciences. I don't see how most of the languages (except, of course, Spanish) or Philosophy could do any worse or have anything to lose.

\*\*\*\*\*

I am weakly in favor, although I don't see this as the University's major problem. If the financial reward system involving distribution of indirect costs was rearranged so that the Deans would find it financially advantageous to encourage their faculty to bring in \$, then whatever the departmental constitution of each college, the Deans would find ways to encourage faculty excellence and enterprise. The rising tide of college dollars would raise all departmental boats. The way it has been for 30 odd years only encourages open lines and faculty who will work for less money. It won't affect me either way, but if UK is to improve it's status, I believe that a new approach must be considered.

\*\*\*\*\*

I have always felt that such an arrangement is a good idea. The interests and agendas of the departments of science and mathematics can be better represented in the new structure.

## **B. Comments from Faculty Responding “Not In Favor” of Proposed Restructuring of the College of A & S (N = 100)**

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(1) The financial consequences of the suggested restructuring will depend critically on how the colleges will be funded. a) If we continue with the present funding plan, in which colleges get very little of the indirect costs generated, then we will simply have 3 starving colleges instead of 1. Sciences will suffer because there will be a much smaller pool of unfilled lines from which to generate start-up. b) If we increase the amount of indirect costs returned to the colleges, the College of Science would be very well off, but the other two colleges would starve even more than they do now. The best solution, for all departments, would be to keep the college together and increase its funding by returning more of the indirect costs. (2) As pointed out by several speakers at the Friday forum, breaking up A&S sends exactly the wrong message to undergrads about the desirability of a liberal education. (3) I am very upset about the 9 areas chosen for enhancement. There is no physical science or engineering on the list (and actually no "non-medical" science). It is hard to believe that no area in the sciences/engineering merits enhancement, and ridiculous to believe that UK can move forward without enhancing this area. (One example -- UK's computational facilities are considered to be among the top 5 in the country, but computational science is prominently absent from the Futures [Task Force] list.) The lack of correspondence between the Futures list and those selected in other recent studies (e.g. Reedy report, RCTF) is also troubling; for example, over half the depts. identified in the Reedy report as Tier 1 have no (or little) significant overlap with the areas identified in the futures report. While periodic reevaluation is certainly important, UK can hardly expect to improve if every couple years it completely tears up its previous plan and "tries something new". There is an "interesting" correspondence between the 9 areas chosen and the composition of the futures committee. I suppose this isn't surprising, since they did not solicit proposals, and apparently ignored the hundreds of email letters they were sent!

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The report, and plan, have numerous "flaws." First, there is no justification given for these actions in terms of the stated goals of improving the standing and reputation of the university. There is also no evidence that these are the actions taken by other universities in attempting to enhance their reputations (and if some have whether this was successful). And there is no evidence that our benchmarks have engaged in this type of restructuring. Thus, while some might say this is a "bold" step, it is in fact an ill-informed step. Second, there is no mention of or plan for the interdisciplinary programs. While the University on the one hand touts interdisciplinary research as important to the future of the university, it on the other hand ignores them and hence places them in a more vulnerable position. The action is more telling than the rhetoric. Third, consistent with the above point, there is a clear attempt at the marginalization of women, African-American and other minority faculty. Both by dismantling HES, and by segregating departments where there are concentrations of women and minority faculty. I can see

this as no less than an attack on the present diversity and the future diversity of our faculty, and by consequence student body, while at the same time the Top 20 Task Force is recommending increased diversity as a means of achieving Top 20 status. Fourth, the reorganization is an apparent attempt at "mainstreaming" and narrowing the research done at the university. Instead of fostering diversity of faculty as well as diversity and creativity of thought, this narrowing is an attempt to preserve power and privilege in the hands of few professors who would maintain a stagnant status quo and attack academic freedom. Fifth, as usual in this university there is a clear self-serving bias in this report - look at who is on the committee and the recommendations for opportunity programs - no surprises there really. Which of course calls into question the credibility of this process. Sixth, this was not an open process. There was little open discussion leading up to this. This calls into question the legitimacy of the process.

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It is already difficult to launch interdisciplinary projects; the proposed plan imperils what little (this is not say insignificant) progress UK has made in this direction.

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I think that this proposal represents an irresponsible abdication on the part of UK from any pretense to "educate" its undergraduates broadly and humanely. What a shame, since we have the resources in A&S to do an even better job of that than we are doing now -- rather than just giving up on the whole idea. How Lee Todd responds to this particular recommendation will, in my opinion, be of the utmost significance. If he accepts it, as it stands, he will, I think, have belied his oral commitment to liberal undergraduate education and cast his lot definitely with the "vocational" and "research" models of higher education.

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I am deeply troubled by these recommendations, as they would disrupt much of the creative work on the campus, provide a much more fragmented atmosphere for students, and undermine the grants/research programs of many productive researchers. In addition, as Joan Callahan pointed out, such plans would be devastating with respect to interdisciplinary programs, and the programs headed by women and faculty of color. The latter is highly problematic, given the poor standing UK currently has with respect to issues of diversity and equity. In sum, I think these changes are ill-advised and will bring UK into the national spotlight for precisely the wrong reasons.

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I tried to open the task force site above, and got a horribly cumbersome PDF doc that I simply couldn't read on my computer. There's some pretty poor communication going on here on the committee's part. I do not feel that the faculty has been sufficiently informed

or consulted on this vitally important work. Too much, too fast, without organs of communication and collegial consideration sufficiently developed.

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I don't oppose the plan in its entirety. But I think the proposal to divide Arts & Sciences lacks merit. It splits up a strong and effective unit, it multiplies administrative positions at a time when they should be streamlined, it dilutes any sense that the University has an intellectual core, it undermines the traditional value of the liberal arts, it promotes a narrowing of specialized interests, and its benefits are far from apparent.

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I believe the proposed division undermines the basis of the liberal arts component of UK's goals not only would students suffer from the changes (ie: they would lose the value of finding the relationships between various perspectives on complimentary topics), I believe the changes would lead to LESS collaboration, sharing of ideas and ultimately research activity and results between faculty. I also believe the proposed change to A&S is completely contradictory to UK's goals of working towards comparability with our benchmark universities. Only one of our benchmarks uses the model proposed by the futures committee (Ohio), and as I understand it, it has not been very successful.

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I don't see how anyone can support or oppose the proposal. No explanation or rationale was given. The details are totally missing. I have no basis for a decision -- but if some explanation is not forthcoming soon, I'll assume these guys are clueless and vote against it. Why do we need three deans to replace the one we have? The only explanation given was that a dean could recruit better if it was his/her area. But A&S has had a number of deans in my 30 years year, and only the current one was a "hard" scientist; physics had no complaint with Baer or Richards (nor even with Baer's predecessor, whose name escapes me now). They were historians or political scientists or anthropologists or something -- they point being that it didn't matter. Though I note that the recommendations for areas to be developed was essentially the areas of the committee members -- so those guys are so small minded, that they can't imagine an administrator who can see beyond his own baliwick. Well, that's their hangup, not mine! The College of Science and Mathematics represents the departments bringing in 2/3 of the funding in the present college. Yet none of the areas chosen for development are in this college, except to the extent that the chemists can pretend to be toxicologists or the biologists can get involved in infectious diseases. I'd think, having chosen a short list of areas to develop, the committee would have proposed a reorganization that somehow supported it (maybe moving all the has beens of chemistry, physics, mathematics off into their own limbo was intended to support further development in the areas that really count? Well, that's a theory).

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Makes communication across disciplines more difficult.

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Restructuring would further impoverish the new units, create more barriers between disciplines, and separate UK from the majority of Top 20 public universities that continue having a large, strong College of Arts and Sciences.

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The restructuring would hinder further development of interdisciplinary work and programs. It would reduce effectiveness and funding of the humanities and fine arts. It would further exacerbate gender segregation, with a male-heavy, and grant-heavy sciences and math; a mixed social and behavioral, and a female and grant poor arts and letters.

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This will be brief and give you just one part of my perspective in the interests of brevity. I am [...] wholly opposed to the restructuring. One mysterious reason offered in its favor is that it would somehow help in recruiting. Sitting next to me the other day in Worsham was a young medievalist, a woman. Most of the women recruited to [my...] department in the past five to ten years (and that is MOST of them) have been in non-Americas fields. Where do they fit into this? Personally, I resent being classed solely as a humanist in this scheme. I have published in historical journals, political science journals (including...) and the journal of the American Studies Association (thoroughly humanist). When I was recruited [...] the Dean asked me if I was interested in building a bridge between [the humanities and social sciences], as I have throughout my career. I said yes, of course [...]. I would not have accepted the position if it the University were restructured as proposed.

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I don't think we should dismiss or close discussion of restructuring because we don't happen to agree with this proposal. I think it is a serious well-intended proposal, but I am not sure how it will benefit the various reassigned departments in A&S. Since the college's interdisciplinary efforts primarily include humanities and social science departments, I am not sure why a College of Science is by definition out of the question.

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Nationally intellectual trends point to more integration, not fragmentation. As an historian, I do not fit into a college of arts and humanities. Who can really say that history is a humanity not a social science? Moreover, as a feminist, I feel the document is

gendered with a definite masculinist bias. The boys would have their college, the girls would have another college, which could be marginalized and under-funded and accused of lacking intellectual coherence. This is out of another century and clings to old ways of categorizing knowledge, although it strains hard to appear to be something "new." I taught at [...] University before I came here. The sciences had their own colleges and humanities and social sciences had their own college. The latter was always under-funded and denigrated. Science majors didn't have to take many courses from our college and we turned out students who had no clue about how the world works. The plan also does nothing to assist interdisciplinary programs or things like the Discovery Seminar. It all seems about classifying things in a way maximize the power of some at the expense of others without taking into account the effect on undergraduate education. I don't want to stay here if I have to be stuck in a college of arts and humanities. That is not who I am as a scholar.

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This is antithetical to what the liberal arts stands for, and would further fragment institutional identity and unity and disable interdisciplinary collaboration, which is already so difficult to put into play across normal departmental divisions and specializations. It would further proliferate deans, and I see no benefit to that. In fact, it is difficult to see just why this is being recommended. I was unable to attend the meeting, but the report gives no argument for the restructuring. Just what problems is this an attempt to address? How would it benefit us? Until a good argument can be made for that, why should we even consider doing this?

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I agree with the statement I read in the Herald Leader that was made by the Chair of the UK Math Dept., which was something to the effect that the splitting of present A&S will make three very impoverished colleges out of one that is already impoverished. It seems to me that doing such, at least in part, goes against the philosophy of President Todd, who claims he is trying to reduce the number of administrative positions. Thus, creating A&S into three colleges will create two additional deanships and require associated staff, to say nothing of assistant deans, etc.

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David Watt presented no convincing rationale for the recommendation. Separate deans to facilitate hiring (mentioned twice in the Friday PM meeting) seems a pretty thin argument on which to hang such an extensive restructuring. More importantly, it leaves me wondering what the real rationale is. If there was a more convincing rationale, why not share it with the faculty? With many at the meeting, I left feeling that I did not have the information needed weigh the recommendations -- hence my resistance to (gratuitous?) change.

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The proposed division is an artificial one which denies the ever-increasing importance of interdisciplinary, boundary-crossing scholarship; it subverts the shared goals and interests of the liberal arts and sciences by separating them into three smaller units, none of which will be able to exert the level of influence that the College of Arts and Sciences now possesses; and it will open the way to an even greater marginalization of the humanities in the education of UK's students, and more generally, to a progressive devaluation of the pursuit of a liberal education.

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It seems to me that splitting A&S into three colleges would further dilute the meager resources that we have. However, if such a split does occur, I do NOT think that the resources should be split evenly into three "piles." Since people in biology, chemistry, and math have been bringing in more grant dollars than folks on the "Arts" side of the college, then the new college for chemistry, math, etc. should get more than just a third of the resources. I think the idea of splitting up A&S is just plain dumb. I think we should stick together and work harder as a team. One faculty member in my department has referred to this as "stir fry." No matter, how we twist and stir, we are still going to have the same amount of resources. All the proposed splitting up of colleges will make UK more of a polyversity than a university. As a researcher who has published over 300 papers, I would have been much happier with the Futures Committee if they had talked in terms of trying to improve the learning situation for students. For example, what about being able to reduce the size of classes so that people would not have to give multiple choice exams?

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I believe that the restructuring would only serve to pit these three units against each other, weakening each and making UK's Humanities into an exceedingly impoverished place--intellectually and financially.

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My sentiments are similar to many of those expressed at the Friday meeting; i.e., I believe the restructuring (of A&S) would mean that interdisciplinary work, cooperation among faculty, etc. would be much more difficult than presently. It would also work against some multi-disciplinary Programs for which working together is crucial and perhaps ultimately bring about their demise (e.g., Latin American Studies, Women's Studies, Social Theory). Also, with regard to program initiatives (the 9 that were identified) I, too, wonder what happen to those programs identified as RCTF programs a couple of years ago?

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The proposed restructuring would greatly reduce any possibility for interdisciplinary work, would create added administrative costs, would marginalize the non-physical sciences, and would make a poor college (A+S) even poorer. Compared with most of our peer/benchmark universities, most departments at UK are very small (in terms of faculty size), and for some departments they are at a critical minimum for running graduate programs. If most of the A&S departments were 20+ faculty members, like at U of Arizona, Michigan, etc., then perhaps splitting A&S into different colleges might make a little sense. In UK's case, it would be ridiculous and a terrible waste of financial and human resources!

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My actual answer is that I am not sure that I have enough information to make an informed decision. I am guessing that the budgetary and funding issues related to this proposal will be significant, yet we are given no information about resource allocation with the new scenario. I have to say that some of the ideas make sense. I would be in favor of changes to the College of Human Environ. Science, but again, it doesn't appear that the committee has done its homework very well. Although David Watt repeated the mantra that they only had 6 months, I think that a responsible committee should have returned a verdict to the President that given the complexity that they had discovered in their initial work, a 6 month time frame was completely unreasonable and would need to be extended. I also believe that there is a serious lack of understanding of the culture of the university and how issues like restructuring can and should be handled within our systems of rules and beliefs. It would make a great difference if the process took this into account and then used this knowledge to recraft the system. Institutional cultures can be changed and modified, but one needs to recognize their existence first and then move toward negotiated change. Or we could move to the model of restructuring at Sunbeam or GE, perhaps President Todd aspires to be another Jack. I am also very unhappy about the lists of top 9-10 areas for additional "investment." I believe that they are too heavily weighted toward the medical and scientific areas and miss other important opportunities. Even if these remain the list, there are some real problems in understanding who contributes to these areas, for example, the history and literature of the Americas. It seems that the Department of Anthropology would be included here with Dr. Tom Dillehay's groundbreaking research on the early peopling of the Americas, not to mention the study of the rise of complex societies in the Americas. Another example is the area of infectious diseases, perhaps the committee was unaware of Dr. Mary Anglin's work on the cultural aspects of HIV and its transmission. It seems that what is missing from all of the areas listed is the human and cultural perspective and links. In this way, I believe that the committee has completely failed at their appointed task--they simply should know better.

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There are many issues to be considered, which the Futures committee has seemingly ignored. It is hard to assess this claim objectively, however, since the minute notes on their site on woefully uninformative. My general objections are 1) the budgetary issues related to the restructuring, not only the cost of doing the restructuring itself, but the resulting lack of budget for many of the colleges and resultant segregation even more into haves and have nots; 2) the concern for graduate education alone. In fact, the one department in the college of AS (my own) that has no graduate program was left off the restructuring list completely. It is hard to conclude that they considered the strengths of each unit, when they are not even aware of what the units are in AS; 3) the list of units designated for outstanding performance and in the forefront of the development of UK seems remarkably similar to the specialties of the committee members. It is hard to think they were objective in their evaluation based on that list.

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If achieving top 20 status means impoverishing further units -which are part of core subjects for a sound education - already struggling to exist I am tempted to say that this whole top 20 ambition is not worth it. The targeted units should be evaluated in terms of service, number of students served (not just graduated) and publications relative to the size and means of the unit. Reaching a high average by eliminating or isolating endangered units (because they do not generate \$\$\$) is not a sign of competent leadership and administration... this is even a severe case of "fudging" in order to give an illusion of greatness! Top 20 ranking at this price is not a sign of good thinking let alone good academic consciousness.

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Although I applaud many of the proposals for restructuring presented by the futures committee, I find the following items to be worthy of more careful consideration: (1) The preservation of an intact liberal arts curriculum and support system, particularly for undergraduates. I consider the College of Arts and Sciences to provide the best locale and structure for nurturing, advising, and developing the interdisciplinary liberal arts. Such a College is the incubator for both basic research and more abstract interdisciplinary endeavors which will not be as successfully supported in colleges with a more applied bent. (2) The establishment of a college or division on campus that is the home and R&D incubator of cross-sector and cross-area interdisciplinary studies, such as: environmental studies, area studies, women's studies, African-American studies, Latin American Studies, Appalachian Studies, and other minority studies. As it stands now, these endeavors, many of which have previously grown in a College of Arts and Sciences, will now be even further separated. (3) A local emphasis, and increased funding for international studies (beyond the proposed focus area of "Literature and Culture of the Americas"). Here's what I propose: keep A&S as it is, but establish a Vice Provost Office (or College) of International and Interdisciplinary Studies. Let units decide if they

want to be located here to make it an academic college, if it will be an administrative unit that facilitates interdisciplinary work.

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Breaking History off from the Social Sciences would be a particularly unfortunate alteration. Some of the social sciences are undergoing disciplinary-wide changes that recognize the once-neglected importance of historical research to their own fields. To cut us off from the History Department, especially when it is being singled out as a target for even more university resources than it has already received, would hurt us at a time when we are not being buffered by our own resources. It is doubtful that pulling in Economics would compensate for this.

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I don't understand what the rationale IN FAVOR of the change is. I do know that this proposal works contrary to the widespread trend towards humanistic social science research and social scientific humanities research in the academy today. I suspect it has been put together by people with little feel for such matters. Also, if it is true, as rumor has it, that the reorganization is a done deal, then I am shocked that such power has been placed in a small number of people's hands without the university community being apprised of this.

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It seems to me that the effect of the restructuring will simply be to "ghettoize" those departments perceived as peripheral, that is, those departments that don't make money for the university. Take, as test case, the College of Fine Arts, where there isn't sufficient money to leave the phones turned on over the summer, or so I've been told.

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The restructuring comes across as a lame attempt to show that the committee gave some thought to administrative restructuring. Some of the proposals appear, from where I sit, to be worth considering--closing or consolidating very small colleges. The proposal to split up A&S, however, comes across as restructuring for its own sake, does not appear to offer any administrative or cost savings, and is inconsistent with college structures at most of the "peer" institutions we seek to emulate. The research funding priorities are simply laughable. The complete absence of physical science & engineering, environmental science & engineering, and social science other than that related to med school/Martin school issues is absurd. Even if one subscribed to the notion that life sciences should get the lion's share (I do not so subscribe), arguably the strongest and best known life science unit at UK (Ecology & Evolutionary Biology) is nowhere to be seen. The coincidence of the priorities with the units of the committee chairs is conspicuous, to say the least, and a couple appear to be tacked-on merely to capitalize on recent publicity regarding UK writers and opera singers.

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My main reaction is: What happens to the liberal arts education when A&S gets divided?

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I am strongly opposed. This restructuring would go against present trends in the profession. The State University of Buffalo broke up the College of Arts and in the early 90s and it turned out to worsen the college structuring. In 1968 SUNY Buffalo changed back to Arts and Sciences. At present the only university I know of which has a similar college structure is Arizona, and there is talk of changing it. Another consequence would be the detriment in regard to interdepartmental programs. Our Dept. works closely with people in Geography and Anthropology, as well as individuals in other departments [...]. Moreover, such important programs as Social Theory, Women's Studies, and the African-American Program would be fragmented and badly hurt. We could forget about a broad interdisciplinary program. Finally, one gets the impression that the proposed restructuring has not been thought through sufficiently--as if it was decided upon for dramatic effect and its symmetric appearance on a chart showing UK administrative units. No justification was given for the logic (and benefits) of such a restructuring.

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The past twenty-plus years of scholarship in the humanities and human sciences demonstrate clearly the importance of interdisciplinary work, and on that view alone it makes precious little sense right now for us to segregate these areas. I have a hard time understanding, additionally, why we should support a move that only multiplies administrative superstructures at UK.

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I have many objections to the plan, but fundamentally it would break up the one unit on campus that is wholeheartedly devoted to two things that are central to the university: providing undergraduate students the comprehensive introduction to knowledge that they need as the basis for whatever else they go on to do in life, and supporting basic research that is not tied to the short-term needs of particular interests off campus.

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It does not make sense to break up the college of arts and sciences, which teaches most of the undergraduates in a coherent set of courses. It is not well funded at the moment. Adding more administrators will worsen the funding situation.

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I am very much against the Futures Comm. recommendation, esp. with regard to the break-up of the College of A&S. The University of Kentucky does not need

more Administration to handle the departments that now make up the College. Also, I feel that the present set up allows one dean considerable leeway in organizing the finances of the college, and by extension each department, than would the constraints of deans that have only a small amount of wiggle room in which to operate. And I think it is a bit premature to ask for a real thoughtful response, without a proposal that deals with how the money will be divided up. In the end, this is a very poor proposal, and the committee should go back and try again!

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As an assistant professor, I think that one of the major challenge that UK faces is the recruiting and retention of new faculty members in the next decade or so. Having a divided College of Arts and Sciences would make us less competitive than our benchmark institutions. From my perspective each Dean would have less resources to move around to be in tune to the changing needs of the faculty and the students. I guess that from the global point of view the number of Deans should not change...but nevertheless the university would be more divided than right now: and that's not good.

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I am completely and vigorously opposed to the proposed restructuring of the College of Arts and Sciences. I have many concerns and questions, but I will summarize them with the following thoughts: (1) No argument whatever was given by the Futures Task Force as to why such a restructuring would benefit anyone in any of the colleges. One can imagine arguments, of course, but it would be helpful if a rationale were given for such dramatic changes; (2) I agree with the comments made orally at the meeting on Friday concerning budgetary questions: how can we reasonably assess such a proposal without any discussion of how resources would be managed and distributed? Indeed, we all worry (perhaps even most of all in the humanities; perhaps even more in the languages) about how we would go from being part of an impoverished college to being a really impoverished (and, frankly, marginalized) college; (3) No discussion was offered by the Task Force as to the process by which they arrived at the delineation of the 9 areas worthy of increased support. Were departments, programs, chairs, faculty consulted or interviewed? Were programs scrutinized in some way without our being notified? Were programs given the opportunity to present their strengths? (4) Which leads to a related issue: it seems to have been taken for granted that the way to move the university forward is to support financially those programs which have distinguished themselves. Why, however, could the argument not be made for the opposite? That is, let those programs continue to be nourished, while redirecting support to programs in immediate financial need? The notion of the 9 areas leads to the impression (on the part of the public, as well as among faculty) that programs not included are not worth supporting, that there is not important work going on in these less privileged programs, also staffed with distinguished and internationally-recognized faculty. Both arguments could be defended, but let's at least have the discussion. (5) The breaking up the college would lead to an end, real or perceived and perhaps both, to the university's commitment to the liberal arts and to a broad education for our undergraduates. I would argue, perhaps idealistically,

that the university should not be run with only financial and practical goals in mind, despite the difficult situation facing the state's economy. Students are here to learn to think critically, a skill that is learned as much in the humanities as it is in the sciences. In today's world more than ever, now is not the time to turn out narrowly-trained graduates. Now is not the time to produce students who have no idea of the world outside the state and the U.S., that there are other cultures where people think differently.

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I believe strongly in a liberal arts education. The synergism between the departments of A&S, e.g. our degree requirements, provides such an excellent educational opportunity to the students of KY. This is part of our "higher purpose". Moreover, I see little efficiency in the split; there is no substantive benefit for graduate education or research. In fact, this proposal sets barriers to collaborations that currently exist. This is especially true for the Department of Statistics, which is engaging in more collaborative efforts with the social sciences. The real issue is the lack of support and funding that the Lexington Campus has received over the past 5-8 years. I do not see the proposal to split A&S as remedy to this situation. In fact, it would create more administrative structure than currently exists, thereby decreasing the funding available for academic enterprises. I do support the restructuring of the other small colleges; I believe that the goal should be to create fewer colleges. I was very surprised to see that Social Work with the addition of Family Studies retains college status. The other proposals for the disaggregation of HES are sound.

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We are creating further boundaries between disciplines and at the same time telling our students to integrate their learning. The USP has courses clusters across the disciplines to make students aware of this. How things are structured administratively sends a clear signal as to how we really view them. We are going to create further islands of isolation and move away from the "learning community" environment that this university so desperately needs.

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(1) Would undermine interdisciplinary work -- which is some of the most important, cutting edge going on at UK. (2) A terrible blow to undergraduate education -- would destroy the liberal arts tradition. (3) Would look bad nationally -- making us appear to be a technical, vocational school w/o commitment to liberal arts and interdisciplinary. (4) Loss of faculty & difficulty in attracting top-notch faculty.

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Out of curiosity, I went to the US News rankings of national universities. I focused on only the category "Reputation score" and found 10 public universities at or above 4 (out of 5). I eliminated Georgia Tech since it is a specialized institution. The remaining 9 are

Berkeley, Michigan, Virginia, UCLA, Wisconsin, Illinois, North Carolina, Texas, Washington (Seattle). I then checked their web sites. All of these truly great public universities have combined Arts and Sciences colleges except Texas. So, the overwhelming majority of the truly great public institutions of this nation do NOT disaggregate their Arts and Sciences.

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(1) The College of Arts and Letters would be the most under-funded and therefore the weakest college on campus. Arts and Sciences is already, per capita, the most under-funded college. Arts and Letters would be a merger of the sector of A&S with the smallest budget with the College of Fine Arts, historically the most financially-strapped unit at the University. (2) The Futures Task Force seems not to understand that the health of the newly configured colleges would depend upon revised funding models university-wide. The impetus for the split of A&S seems to come from some of the "hard" sciences, but they don't seem to understand the nature of the funding issues either. (3) The A&S split would jeopardize the integrity of liberal arts education at UK -- yet another aspect of undergraduate education that the task force has ignored. (4) The proposal ignores the importance of interdisciplinary programs in A&S and the importance of a College of A&S to those programs (the programs could join any new college they choose, but the very necessity to choose violates the principle of interdisciplinarity). (5) It ignores the fact that the rigid divisions of disciplines would be a step backward for UK; universities should work for the breakdown of disciplinary barriers. (6) The majority of UK benchmarks A&S departments would seek to emulate (for example, not Texas A&M or NC State, which are not comprehensive research universities) have the A&S model. Significantly, according to their web site, the task force looked at only two other universities (OSU and Penn State), both of which happen to have colleges similar to the units they propose for UK's College of A&S. (7) In view of UK's mandates for excellence with limited funds from the state, the split would prove too costly in terms of recurring and non-recurring funds, and it would take too long to recover from. (8) The excellent college-wide support services in A&S, such as the advising center and other student services, as well as the college's increasingly successful program for financial development would be destroyed and would have to be reinvented in triplicate.

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No rationale offered for A and S split -- except two comments from Watt at public meeting that implied the Dean does not serve the college well in getting resources or in recruiting faculty. I didn't think either comment was backed up with evidence and, even if we buy these points (which I don't), no argument was given for why the proposed arrangement would be better.

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I think that the proposed restructuring would be a severe blow to the goals of liberal arts education. The proposed plan could create barriers that impede the flow of students (and

knowledge) between the different colleges, further reducing the diversity and quality of undergraduate education.

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There are many reasons to be skeptical that the proposed division of A&S will lead to any real improvement. No cost assessment has been made of the likely administrative overhead which could be very substantial-at a time when new faculty positions, NOT added administrative overhead, is what is needed to make the College more competitive. The only rationale that has been publicly advanced in favor of this proposal is that a Dean of a smaller unit could better focus on its needs. In fact the present Arts and Sciences college has associate deans whose mission is exactly to advise the Dean on such departmental matters. Two associate deans are a lot cheaper than three deans and duplicated staffs for fundraising, course scheduling, advising, and other administrative support! In the absence of a serious attempt at costing out the proposal I see no advantages whatsoever to the proposed change.

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Obviously, one serious concern about this proposal is the fate of undergraduate education at UK, both the ideal of a liberal arts education and the more practical aspects of managing what would become cross-college university requirements on a greatly expanded scale. Furthermore, I am greatly concerned that interdisciplinary programs (Judaic Studies, LAS, Women's Studies, Appalachian Studies, African American Studies, etc.) will be severely strained by these new college boundaries. I do not see the point of generating new boundaries between History and Anthropology, for example. I am also personally unclear on why organizing university departments by level of revenue generation is productive or useful for any aspect of teaching or research. This is very brief, but I'm sure others will respond in more detail. I am also concerned about the proposal to leave overhead in the college that generates it. Without knowledge of how university resources will be redistributed in response to this massive shift in capital, I think it's most unwise to agree to this. What would happen to the small grants awarded by RGS for summer research, for example? These small amounts of money are useful for many people in A&S, but do (as I understand it) come from overhead generated by the university as a whole. Will more state dollars be moved into RGS to compensate, or will these programs be abolished? And what are the implications for higher-revenue-generating colleges, like Engineering? Will Engineering (for example) be expected to become revenue-generating (or at least revenue-neutral) within the university as a whole? In other words, will the Engineering School be expected to pay for its own buildings and infrastructure? Cover some salaries or benefits? Generate revenue for the state? And since the foci for future research outlined by the committee are largely Medical School initiatives, what happens to high- \*and\* low-revenue generating departments in this schema? Will high-revenue-generating Colleges need to reorganize their research to respond to Med School initiatives so that they can have sufficient lab space, etc.? Will low-revenue-generating Colleges (like Arts and Letters) be cash-starved in any scenario? And where will all the state money go that's being "saved" in all this

fiscal reorganization? Finally, I'm worried about overweening Medical School influence on the rest of the campus if we go to a one-provost system.

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One of my main concerns regarding the break-up of the college is that the plan destroys the basic liberal arts intellectual core the college. At one time in the late 1960s the college operated under three or four Directors Social and Behavioral Sciences, Physical Sciences etc. It did not work out very well, and we got rid of it. We need to think ahead, not backwards as the Futures Committee has done in this report. I do not see any benefits of the plan in enhancing graduate or undergraduate instruction and research. The other point that concerns me is the disciplinary areas selected for further investment to take us to top 20 status. The list is ill-conceived. Except 2, all areas are in the medical or physical sciences. The "public policy" area is a vague one. I am appalled that a distinguished Committee like this one would completely ignore the Non-Western cultures and international aspects of the University. Nearly 60 percent of Kentucky's trade is with countries outside the United States. A significant portion of the international trade is with China and Japan. But the committee seems quite oblivious to international and non-western emphasis in priority areas. As you may know UK's prominent position in Asian studies has just been recognized by over \$1 million grant from the Freeman Foundation to enhance this area. The Committee thinks that Patterson School is the only area of the Univ devoted to international dimension. Many departments in A&S, Education and Business have significant international component, and I had hoped that the Committee would recommend pulling these resources to lift us to higher status. No university can aspire to be great without a solid international dimension. In summary from the intellectual viewpoint and contemporary trends in the world the report is flawed; it will not serve the interest of UK and the state. It is biased in favor of health and physical sciences. The recommendations lack (1) strategic vision or ability to look ahead (what kind of faculty, instruction and research we need at UK?) (2) peripheral vision or ability to look around the world (trends in the world and how UK can respond to these trends through research and instruction) (3) internal compass (what we will need in terms of resources? what is right? Couple it with flexibility. I think all these are very important points in any discussion of FUTURE. The main problem may be the Committee's failure to really "understand" the university.

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It is very hard to determine what the Task Force sees as advantages and/or disadvantages in the proposed restructuring (and here, I am thinking personally more about Arts and Sciences), since there appears to be few details of the Task Force's thoughts in print. I perceive that the College of Arts and Sciences at the present is disproportionately underfunded given the amount of instruction it provides to premajors in other Colleges as well as majors in Arts and Sciences itself. I am concerned that the restructuring will not improve this situation. Will the restructuring result in a net reduction of administrative costs and an attraction of an additional infusion of funds from other University sources? Or will there be a net gain in administrative positions and costs? I suspect the latter. How

will this affect the potential "liberal arts education"? Will it cause students to be more narrowly focused and reduce the encouragement to take courses across a broad range of disciplines? I am worried this might be so. But it would be very helpful to see a more detailed analysis by the Task Force to support its tentative recommendations.

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Actually, it is premature for me to indicate my position. I'm in the Psychology Dept. and our faculty are in a rather unique position under the new plan. Several of our faculty could easily be included in Sciences & Math rather than Social Sciences. I worry for them that the proposed restructuring might set up barriers between Social Sciences and (Natural) Sciences that don't now exist.

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The doing away with the AS College would send a clear signal that the university did not see it as important that there be one college which can lay claims to being the core of an undergraduate (liberal arts) education. Since I am a firm believer in the liberal arts, I think that such a signal would be an unfortunate signal to send.

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It seems that having three colleges would just create more administrative positions, and hence more bureaucracy. I don't see what their arguments are for why the current Arts and Sciences College structure isn't working. Also, perhaps this is a self-centered argument, but I worry that Philosophy (my department) will become financially marginalized (along with every other department in Arts and Letters).

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I think it would be extremely difficult for the humanities, fine arts, and journalism to achieve common ground on hiring and promotion matters. This combination is also a recipe for major fights about who should administer the college. The College of Arts and Sciences has worked well administratively and intellectually. Why change it for some imagined futuristic benefit that is dubious at best.

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I value contact with my colleagues and their students in the Social Sciences. The proposed restructuring will not only inhibit cross-disciplinary collaboration between faculty but promises truncated pedagogical experiences for our undergraduates and graduate students.

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It seems to me to be a costly and disruptive exercise that will have no obvious benefit to the academic programs of the college. Given the skewed priorities for investment and the lack of an obvious rationale for the choices made in selecting the nine areas, only one of which relates to A&S, it appears that the committee was rather cavalier in its assessment of the importance of the college to the university. [...] Where is the role of undergraduate education in the proposed scheme? What about an international or global focus? It seems that the committee was at best constipated in its view of the future, at worst self-serving and narrow-minded.

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I'm concerned about the effects the proposed division may have upon interdisciplinary programs and teaching. From my perspective, my own discipline, English studies, has as much to do with geography and anthropology as it does with history and Spanish, and more to do with biology and physics than more folks are inclined to believe, though less than it might. I especially wonder how the proposed institutional focus on "History and Literature of the Americas" could be developed without the participation of cultural geography. The suspect character of these divisions crops up especially, I think, if we imagine what may unfold when it comes time to decide whether Appalachian Studies or Social Theory should be dealt to one side or the other, how and by whom such programs might get funded and run. I'd have to know more about this and hear more about what benefits the Task Force projects from this split in order to get behind the proposal.

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It seems to me that this restructuring would be exactly the opposite of what we were told the president would be eager to do: streamline the administration at UK, which is already a rather large corpus with a sometimes repetitive and bureaucratic structure. This partition would also hinder the functioning of various interdisciplinary programs (Latin American Studies and Social Theory are two examples) in existence and go against the current trend for more "global" academic training.

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I 'm not opposed to restructuring in the abstract, but I do oppose the segregation of humanities or its bracketing with the arts. It will leave these departments in a culture of relative poverty and would lead to some very uneducated citizens of the commonwealth. Nor do I see immediately how research in the humanities would benefit from such a plan. Instead, it would turn the humanities into a kind of service sector for a new Kentucky Institute of Technology.

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I was most dismayed by the correlation between the departmental affiliations of the committee members and the designated Areas of Excellence; this, to my mind, raises questions about the legitimacy of the committee's recommendations, including the restructuring proposal. If a committee of predominantly Arts and Sciences faculty proposed restructuring the medical and health sciences, it would be considered inappropriate and outrageous. I am perplexed that such a major restructuring has been suggested by persons not in Arts and Sciences, and by persons who seem to have no real understanding of the Arts and Sciences, the areas of strength in the departments in the college, or the historical development of interdisciplinary discourse across the Humanities and Social Sciences. Most troubling is that the committee appears to have no vision of the University as the place where we work to give undergraduates a liberal arts education. Thank you for your attention to my comments.

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There was seemingly no rationale for the breakup of the College other than the argument that a dean with closer ties to the subject area could attract and retain better faculty. This is a lame excuse - all of our deans have traditionally taken a keen interest in the arts, social sciences, and humanities, and in any case they tend to follow (to a letter I bet) the hiring recommendations made by the departments themselves. I fear for the status of interdisciplinary programs in this model - there is presently a great deal of interaction between social scientists and humanists in key programs such as Women's Studies, Social Theory, Judaic Studies, African American Studies, and Latin American Studies, to mention a few. My own research and teaching has been enhanced by collegial interactions with faculty in four of the above-mentioned programs. Why would we consider this breakup when so few of the really good public institutions have followed this model? And when those that did do it now regret it (e.g., SUNY Buffalo). This is a model from the 1970s, applied to UK today. What was it that Mark Twain said...? Finally, I can't stop without a word on these substantive areas of university concentration. While I have always felt that David Watt was a fair minded individual with the best interests of the university in mind, this task force's recommendations smell of narrow self-interest on the part of the membership. Dan Reedy's committee spent an enormous amount of time determining UK's areas of strength. This committee, it is very clear, did no such homework or analysis.

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I am concerned that dividing the College of Arts & Sciences would diminish burgeoning links between the Departments of Geological Sciences and Geography and lead to unnecessary administrative duplication.

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The College of Arts & Sciences is the SINGLE academic unit on campus that embodies diversity and interdisciplinary scholarship by spirit and design. It would be disastrous, tragic, demoralizing, and insulting to abandon this intellectual heart of the U.K. community.

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I am compelled to convey my dismay that a committee charged with assessing the university's scholarly and educational strengths as well as proposing specific options for academic restructuring failed to include the Russian and Eastern Studies department in their materials. There are several conclusions one may draw from this omission, none of them positive. I find the situation particularly galling since the Russian and Eastern Studies department was just commended by outside reviewers for the excellence of its scholarly and educational excellence not only in comparison to its benchmarks, but also in the face of ridiculously limited resources. In fact, our excellence is recognized at the national level as well. Our students have been awarded the highly competitive national NSEP grant five out of the last eight years. Finally, it is worrisome that the committee chose to overlook a department that represents 2/3 of the world's population. All in all, given the remarkable need for internationalization of this campus and rapidly increasing globalization of our state, there is no possible excuse for this behavior.

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The more I saw, the less I liked. Taking the most under-funded departments (i.e., Humanities) from the per capita most under-funded college (A&S) and putting them in with the most poverty-stricken college in the university (Fine Arts) is a recipe for disaster unless a very, very large infusion of new funding comes into the new college upon its creation. Given that we're in the middle of a crunch, that is unlikely to happen. I do find the IDEA of an arts and letters college quite attractive, but will be utterly opposed to the implementation of the idea until someone "shows me the money" up front. I was also disturbed by the selection of "history and literature of the Americas" for funding. Since we don't have an "American Studies" department, this means that departments like English and History, already divided between the Americanists and everybody else, will have further impetus to further cut back in European positions in favor of the new emphasis. Within the past 15 years, nearly half the Europeanists positions in the History Dept. have evaporated, and I fear that all fields except for American history will be cut beyond the bone if this emphasis is carried out. In a nation and a state that is particular parochial in its interests, we do a great disservice to our students to imperil what is left of a genuinely global education at UK. I know President Todd has very strong opinions in this regard, coming directly from his experience in dealing with European business for which his narrow and more technical education put him at a disadvantage. Indeed, though "the Americas" is no doubt meant to include Latin America, in the Spanish (soon to be Hispanic Studies) Dept., a similar sort of cleavage exists between the Americanists and the peninsulars. [...] As a classicist, I am concerned

about the current emphasis on the modern and the American. On the political side, it must be admitted that the Humanities was poorly represented on Futures Committee itself. [...] I don't think the concerns of the Humanities were sufficiently articulated in the committee and I hope you might keep this in mind as matters come before the various bodies of which you are a member. Anyway, that's more than my proverbial two cents... but you did ask. Thanks again for the concern and leadership you have so well demonstrated and all the best as you continue to do so.

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The recommendation of the Task Force should emphatically not be followed. It would be a serious setback to undergraduate education, not to mention research, interdisciplinary studies, etc. If the university wants to improve itself the first and foremost issue that should be addressed is improving funding. This may be obvious, but without serious attention to this, all talk about top-20 status is pie-in-the sky. Reorganization - even a better one than proposed here - is trivial by comparison with this ever present need.

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My main purpose in writing is to express some reservations about the committee's draft proposal to divide the College of Arts and Sciences into three colleges. As several have noted, A&S currently is the home of several intellectually vibrant multidisciplinary programs (e.g., Latin American Studies, Women's Studies, African American Studies, Social Theory) that span the social sciences and the humanities. To place any of these programs in one or another of the newly proposed colleges could be detrimental to their ability to maintain the full range of faculty and graduate student involvement that they currently enjoy. I would view this as a damaging outcome. Ironically, such a move could create new barriers to multidisciplinary activity at a time when the University is trying to promote new connections and to break down silos. I also believe that the proposed split could damage undergraduate education. Students who graduate from an A&S department have taken a full range of courses in the humanities, the social sciences, and the natural sciences that go beyond USP requirements and that insure that they have received a liberal education that will serve them well throughout adulthood. I fear that abolition of the College will make it difficult to sustain the currently existing requirements in these areas. If the requirements are not maintained, we may unintentionally have moved in the direction of producing technically proficient specialists rather than fully educated citizens. Organizationally, I am apprehensive about each of the three new Colleges the committee has proposed. The College of Science and Mathematics would simply represent a small collection of departments that already exist in a single College. No new synergistic relationships would be created by carving them out. I think the only outcome would be intellectual isolation. The College of Social and Behavioral Sciences would provide the potential for some new combinations of departments, but this would require departments and schools that are comfortably situated in such places as Business and Economics, Agriculture, and Medicine to accept an invitation to join the new College. Given that these programs already are involved in the missions of their respective Colleges, it is difficult for me to imagine that they would

accept the invitation. If they decline, we will be left with a small collection of social science departments that have experienced a weakening of their ties to the natural sciences and humanities and gained virtually nothing. The College of Arts and Letters would represent an awkward combination of departments and schools that found it advantageous to separate several decades ago. I have trouble seeing how reuniting them would be anything other than a return to the 1950s. I think everyone would agree that the College of Arts and Sciences can be awkward because of the diversity of departments and programs that it contains, but it does represent the intellectual core on which many other programs can build. I think it is important for organizations to protect their core. I am not sure that splitting it up will accomplish that.

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An obvious medical/biological science bias - six/seven out of nine areas for further investment concern medical/biological sciences, while humanities and social sciences are simply given lip services. An obvious correlation between the composition of the committee (many of them are from medical/biological fields) on the one hand, and recommended areas of further investment on the other. The idea of restructuring seems to be dictated by a bad economic logic - A&S is likely to be divided according to how much money each division will make. Also, the report represents what I see as narrowly defined American interests - no concerns for global cultural studies whatsoever. In short, the report addresses on an out-moded logic of science and technology at the expense of humanities and social sciences; the irony is that such an outmoded logic was issued precisely when we need to think about how to bridge the gap between issues of technology/science on the one hand and those of humanities/social sciences on the other. A very disappointing report. I felt good, however, when I saw critical spirits and responses from A&S faculty in the meeting this past Friday.

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Problems with the plan: (1). It would lump stronger programs from A&S with weaker programs from other units, but would not necessarily lead to improvement of the weak programs. (2). It would weaken those areas of the social sciences that have a humanistic bent, by removing humanities faculty from Dean's advisory committee on promotion and tenure, etc. (3). It would weaken the university mission of offering undergrads a liberal education.

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Having done three degrees at one of your benchmark schools, I find this sort of (arbitrary?) administrative division very strange & believe it would lead to a loss of interdisciplinary benefits a large research school offers. I am also very concerned about potential division of gender & drain or loss of eventual research funding/monies that would be caused by separating the "arts" from the "sciences."

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Presently, the undergraduate students of the College of Arts and Science can combine most effectively their majors and minors between two or more disciplines. A possible division of the College may preclude this opportunity, very important for the undergraduate students.

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I do not understand the reasoning behind this restructuring; there is nothing apparent of any practical significance to be gained. The College of Arts and Sciences has been treated as a "poor cousin" by the University for some time, and I have had the impression that this is a result of the relatively low external funding that the College as a whole can generate. By breaking it up it seems to me our voices will be even further weakened, and the potential for underfunding our mission of teaching and scholarship could be further undermined. Finally, we are currently in a time of great financial stress; why are we discussing such an expensive undertaking with no substantial benefits? Can the administration really guarantee that we won't see our salaries and benefits fall even further behind those of our benchmark institutions, or see our department funds for teaching and administration even further cut, while money is drained to pay for this restructuring?

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I think that restructuring without additional resources is a largely disruptive, not-likely-to-be-valuable process. I see no compelling arguments presented for the bulk of the committee's arguments. The description of areas proceeds primarily from the view that to be great one MUST build on existing strengths, which I think is not completely correct. The omission of areas like clinical research and engineering from a Futures report appears very shortsighted to me. Inclusion of areas like plant bioengineering and infectious disease is surprising. I would emphasize that piecemeal implementation of the restructuring without major budgetary changes could be disastrous. The VP-Research position has been emasculated in this report--is that really what we want? Certainly at variance with what is being sought in our current search. The effects of restructuring and investment in specific areas seems not to have considered education, either undergraduate or graduate. Overall, I am disappointed in this report, and worry that this was just not a productive process.

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I am particularly worried about three possible consequences of the restructuring: (1) The potentially deleterious consequences for undergraduate education. I strongly believe in the importance of a liberal arts education, and the restructuring seems to move UK even farther away from granting any significance to the notion of a well-rounded undergraduate experience. (2) The potentially deleterious consequences for the all of the departments shunted into "Arts and Letters", especially the Philosophy Department, that

may arise from a drying up of funding and voice in the university. (3) The probably fatal consequences the restructuring would have for the Committee on Social Theory, particularly since it seeks to cross disciplinary boundaries and would need to bridge three new colleges in order to carry out its mission of interdisciplinary research and education. One of the very few arguments actually advanced in favor of the restructuring is that it will promote interdisciplinary activities. With respect to the most important, and only significant interdisciplinary group I am involved with, the plan actually appears to thwart the realization of this goal.

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The restructuring would do much to transform the University into a fancy vocational school, not a place where students can pursue a specialization within the context of the type of broadly based academic program that is proper for an educated human being. I see no obvious advantages in adding more administrations to the University. Given the tight budget, creating more institutions only helps waste the limited resources, which could otherwise be used more properly on departments in College of Arts and Sciences.

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I honestly think in time of economic problems for the state and the University, it unwise to restructure a college system and in the process create three very poor new colleges. I also think the Task Force was biased towards with their findings by only presenting themselves and what they thought the President might like in good light. Reasons for the restructuring were never given, which causes concern in many and understandably. Also, since our model universities do not have the proposed structure as a model, it seems we would be taking a step back and away from our long-term goals.

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There are no obvious advantages of a change. So why changing it with a lot of effort, thereby wasting the time of many of the faculty? Actually, most of our benchmarks have the Arts & Sciences as a whole!

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The principal bad effect of this restructuring would be to triple the administrative structure in a college that is already over administrated. Why not just simply absorb the smaller colleges back into the college of A&S?

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In terms of academic infrastructure, I feel the restructuring would complicate things immensely, lead to duplication in effort, and make it harder for students to get a multi-disciplinary education. In terms of research infrastructure I am more unsure of the impact and feel there would be pros and cons to both sides. In a college of science and

mathematics, for instance, there might be better support for scientific computing. Alternatively, smaller schools might leave less flexibility in appropriating available funds.

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I don't really know if it would be better or worse. I'd like to see the arguments for and against. The only argument I've heard is that if one college of Arts and Sciences is underfunded, splitting into 3 colleges would probably make all 3 of them even more underfunded. If that's true, then I'm definitely against.

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The Liberal Arts are already the poor stepchild at the University of Kentucky, and the restructuring will only further isolate and diminish those departments. It is shocking to me how many of my students have no interest or appreciation for the Liberal Arts, and it is not in the interest of the Commonwealth or its citizens to encourage this narrow, utilitarian, and ethnocentric perspective.

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I believe that dividing A&S up will diminish the influence of the liberal arts at UK, and unfortunately their influence is already too weak. In regard to the Task Force's recommendation that the place of international studies at UK be investigated, I say that is a task that deserves the highest priority, and I hope that President Todd assigns it to someone who will take it seriously and see that UK takes it seriously.

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(1). There is nothing in the future's preliminary report that offers a compelling reason to split A&S. What would be the benefit? Without a large, and very unlikely, infusion of funds, we would go from one impoverished college to three equally impoverished colleges. Flexibility allowed by salary savings generated by a large faculty base would simply be lost. Because of the poor funding for the college relative to its size and mission, salary savings are an important means to an end. (2). Dividing the college would add additional and unnecessary barriers to interactions for students and faculty. Cross-disciplinary efforts like the mini-colleges and discovery seminars would suffer. (3). Students, especially first-year students, who frequently change majors will then have to change colleges as well. The advising system in A&S is superb, designed to help prevent students from falling between the cracks. Breaking up the college begs the question as to what would happen to a very successful advising system. So again, what is the rationale to such a Draconian measure?

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Some universities have liberal arts divided along the lines of the recommendation, so it's not an outrageous proposal. However, our Task Force offers no reason for doing it here.

It has the downside of diminishing the claim that the liberal arts is the core of the university. It also will further diminish the overhead that goes to the humanities and social sciences. I could be persuaded that it's a good idea, but in the absence of any solid argument, I am opposed.

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I believe that the task force has done a poor job of communicating its reasons for its conclusions, and a poor job in presenting them to the public forum at the Worsham Theater. Those objecting to the proposals were far more persuasive than the task force. For those not present, the task force web site was not helpful beyond giving an outline of conclusions, with no rationale. If the task force's intention was to start a conversation, they have succeeded. The only problem is that, in the many conversations I have taken part in, the task force point of view has been entirely absent. When this is combined with a perceived strong correlation between the self interests of task force members and the areas chosen as priority areas, one can see that the task force has a very serious credibility problem at this point. Two further reasons to disagree with the recommendations are that they pay essentially no attention to undergraduate education, regardless of the rhetoric, and that they move the University in a technocratic direction, where the ideal of liberal scholarship and teaching will become even less important than it already is. My advice to Provost Nietzel and President Todd is to distance themselves as far as possible from this report, lest the good relations between them and the faculty be sacrificed on the altar of this public relations disaster.

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I am not against restructuring. It could be useful. But, there is no rationale given for the present plan. And perhaps even more insidious than the proposed restructuring is part one of the Watt plan - -the targets of opportunity/priority. Aside from the fact that the majority of them fall under the direct purview of Watt himself, they send the message the UK of the future is a technicist MIT-wanna be; with no room for the educated, moral, responsible, citizen-scholar-student.

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The proposed College of Arts and Letters will bring in little external funding, and hence will be in a weak position from the standpoint of the administration. I fear the net result will be to further marginalize the humanities at UK.

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As far as I can see, the report says nothing about undergraduate education. (One of the Task Force's "guiding principles" is to "serve students better," but nothing that follows addresses serving students, undergraduate or graduate.) This seems especially unfortunate since President Todd, to whom the report recommends changes, has said he wants to change the way Kentucky students think about themselves and about what is

valuable in Kentucky's educational systems. Surely undergraduate education is one way the University can "respond better to needs of [the] Commonwealth" (another "guiding principle"). Is the "Boyer report," which elaborated on the importance of undergraduate programs in first-rate research universities, now considered irrelevant? (Official title: *Reinventing Undergraduate Education: A Blueprint for America's Research Universities*, by The Boyer Commission on Educating Undergraduates in the Research University [sponsored by the Carnegie Foundation for the Advancement of Teaching]. April 1998. For complete text, see <http://naples.cc.sunysb.edu/Pres/boyer.nsf/>.) Two quotations from the Boyer Commission report (emphasis added): "Everyone at a university should be a discoverer, a learner. That shared mission binds together all that happens on a campus. The teaching responsibility of the university is to make all its students participants in the mission. Those students must undergird their engagement in research with *the strong 'general' education that creates a unity with their peers, their professors, and the rest of society.*" "Undergraduates must explore diverse fields to complement and contrast with their major fields; the freshman and sophomore years need to open intellectual avenues that will stimulate original thought and independent effort, and *reveal the relationships among sciences, social sciences, and humanities.*" Can the Task Force, in completing their work, give attention not only to undergraduate education but also to interdisciplinary undergraduate education? True, the Futures report speaks of "promot[ing] interdisciplinary innovations" and "serv[ing] multidisciplinary interests," but the proposals in the report address for the most part administrative interdisciplinary links, not conceptual interdisciplinary links. For example, a number of existing units work in neuroscience. The report proposes linking them, which is a good idea, because the existing units no doubt do have different angles on the problems of neuroscience and there's no reason to duplicate effort; but this strikes me as more an administrative reform than a conceptual reform. An example of a conceptual reform would be to add literature departments to the interdisciplinary group on "Risk-Related Behavioral Sciences." Literature (and film) give considerable attention to risk-related behavior. Why might not that attention be valuable in a truly interdisciplinary approach to risk? (Consider the work of people like Jonathan Shay and Oliver Sacks, both M.D.'s who do make conceptually interdisciplinary links.) I arrive at the break-up of the College of Arts and Sciences. Leaving aside fiscal implications, I worry that as separate colleges get increased control of the undergraduate curriculum, we would have less well-rounded undergraduate students (e.g., by reducing the science taken by humanities students or the humanities taken by science students). Such a change could tend to turn UK into a high-level vocational school. If the aim in breaking up A&S is administrative simplification, why not simply add the Colleges of Fine Arts and Communications to A&S (where they used to be)? How will the splitting up of A&S "promote interdisciplinary innovations"? Wouldn't a greater integration of A&S be more likely to accomplish this? The breakup of A&S would be less problematic if, along with the break-up, sound, reliable mechanisms were created to insure (a) undergraduate connections and solid curricular diversity (along the lines of the Boyer recommendations) and (b) regular interaction among the faculties of the new colleges (we need more real interdisciplinary interaction even now).

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Start-up and new infrastructure costs would be tremendous; it would damage interdisciplinary collaboration in major ways; it would hamper some of our innovative efforts of the past 15 years and take UK off the map of widely appreciated programs such as the Committee on Social Theory. This Futures Task Force proposal is partly driven by some of the most intellectually REGRESSIVE orientations such as scientism and corporate entrepreneurialism, trends that undermine liberal education. The emerging debate should include these matters AND the question of whether there are prospective private profit interests involved in the motivation of some supporting this alarming proposal.

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I've responded to this in detail through my dept., but in short I think it will compromise our ability to do interdisciplinary teaching & research, which is where the future of academic work lies, it will further marginalize arts & humanities, and it doesn't seem to have any upside -- I can't figure out why it was proposed in the first place.

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I have several reactions. First, it is clear the committee did a lot of work and came up with some ideas, probably some good ones, which may ultimately make a difference. None of the suggestions made me stand up and say hallelujah, so I can't single out anything for particular praise. On the areas of emphasis - my impression is that the secrecy of the process (after initial noises that it would be open) resulted in the usual list of favorite areas of the (presumably most vocal) members of the committee, the common criticism of all previous task forces. My suggestion to them at the beginning was that they consider proposing an ongoing process for targeting investments rather than some inevitably limited list (what, we are going to invest in vocal music and pharmacy for the next 10 years or until the next task force?) It's the process of faculty representation in development that we lacked, and still lack. On restructuring. I wasn't that interested in this before the report, but now more so. I thought the proposals interesting and have heard mixed views. In general I think of departments as organized along disciplinary lines and Colleges along mission oriented lines (medicine, ag, education, etc), with Colleges generally being multidisciplinary (eg both ag and medicine have animal physiologists). So while it might seem to be an efficiency to combine all the animal physiologists (and reduce?), in fact it disrupts the multidisciplinary missions of the Colleges. I don't know that breaking up A&S would be particularly disruptive of the mission of broad undergraduate education, I'm not sure what particular benefit would come from proliferating Deans. Further Humanities impoverishment? In general I was disappointed in what struck me as a rather narrow, inwardly looking spirit in the report. I expected more of a focus on forward-looking challenges, broader areas that more of the faculty could enlist in.

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I believe that the division of Arts and Sciences would: (a) further weaken any political influence which they have in this university, (b) lead to an increased emphasis on 'vocational education' here, (c) further reduce the university community's understanding of, and commitment to, an education as such, and d. further reduce the Kentucky citizen's understanding of education, and opportunities to receive an education. Vocational training is important, of course, but should not become the sole focus of a university; institutions for that purpose already exist. Universities exist in order to preserve, increase and transmit human knowledge and understanding of the universe, both human and non-human. Further weakening of Arts and Sciences would seriously undercut the University of Kentucky's ability to fulfill that mission. Instead, the colleges at UK which primarily deal with job-training would no longer be faced with any other point of view as represented by any college of significant power. Different points of view are critical to human growth (even those opposed to mine!)

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The proposed restructuring seems without merit. I have no sense of what would be gained by doing this. The argument that the new deans of these three colleges would be "closer to the subject matter of their faculty and better able to pursue their interests" is not meaningful. On the contrary, the deans of arts and letters and social science would be relatively disempowered in the university at large. I agree with arguments that have been made about the detriment to undergraduate education that will be the outcome of this fragmentation. In addition, I am concerned about the future of such programs as social theory and women's studies once the institutional supports for them are eroded by this new plan. Finally, I think it is illogical to increase fragmentation at a time when interdisciplinary work is highly valued.

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It would separate the humanities from the sciences and social sciences, and deprive them of necessary funding and support. The humanities should not have to be in the deprived position that the proposal creates. I'm definitely not in favor of its passing.

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I am particularly concerned that the proposed restructuring misunderstands the nature of contemporary interdisciplinary study (research and instruction) as practiced in and between humanities and social sciences, and does not appreciate the distinction between interdisciplinary and collaborative/multidisciplinary research. It is my fear that the administrative walls erected by the proposed restructuring will greatly inhibit interdisciplinarity at UK and may spell the demise the existing interdisciplinary programs.

\*\*\*\*\*

First, I wonder why no rationale or explanation was given for what amounts to very major structural changes. Without rationale, the proposals appear to represent change for the sake of change. There are no substantive issues to discuss and debate. The committee should provide a full explanation for what it is proposing. Then we can discuss whether the proposed changes seem to make sense and seem to be in the best interests of the university. Regarding the proposed breakup of the College of Arts and Sciences, which is the change that would affect me most, my response is as follows. I wonder, again, why this change was proposed. To me, it makes little sense from either a budgetary or academic standpoint. It would require the creation of three new college bureaucracies to replace the existing one, complete with deans, associate deans, new offices, etc., all of which should appear to be quite costly. It would further fragment a university that many of us agree is already too fragmented. It could well create a nightmarish situation for students who are now very well served by the College of Arts and Sciences in terms of advising and degree requirements. The operating assumption of the proposed changes seems to be that we can reach top twenty status by committing funds to a small number of relatively esoteric interdisciplinary programs and research areas. In fact, I would argue, the foundation of all great universities is strength. On the contrary, the areas of excellence seem to be slanted toward the medical and professional schools, while the College of Arts and Sciences is to be dismantled. According to the proposals, my department – history - would be lumped in with other humanities departments and with the Fine Arts and Journalism. It is worth pointing out that when I arrived here in the early 1970s Fine Arts and Journalism were included in Arts and Sciences. This did not work well then, and I recall that administrators and faculty in A & S and in the Fine Arts and Journalism were pleased when they were separated. I see no reason now to reinstitute something that did not work well before and probably would not work well now. I hope you will do everything you can to ensure that there is full discussion of a set of proposals that has some quite serious implications.

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If we separate off the humanities from the rest of the sciences, we send a message that many of the things that get done by the humanities are not really that important. I teach in the Philosophy Department, I believe that Philosophy is important to every other discipline because it is about reasoning, which is fundamental to all other enterprises and to leading an informed life. A university education is all about preparing people for not only their chosen profession, but for being autonomous, informed citizens who will contribute to society. But to be fully autonomous beings, the students need to engage in critical thinking, and this is something the humanities supplies in a way that nothing else does. Also, it is ever so important for students to consider issues about race, class, and gender, and the only place where these issues can be given an in-depth analysis is in the humanities. If we separate off the humanities, we separate off these issues rather than incorporate them into the whole curriculum – but that's what we ought to be striving to do if we are serious about diversity (and the university professes to be so). Separating off the part of the college that deals with such issues is a clear marginalization of them and of

all minorities and women, students and faculty alike. How can we possibly aim to be a "top 20" place if we don't care about issues directly affecting more than half of our population? Is this a place where only upper class white men can thrive and progress? Then we're back in the old days when universities didn't admit women and minorities. Where progress?

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My main concern with the proposed restructuring is what central, core unit with sufficient clout & power will be the one to speak strongly for the basic, core curriculum which should and must be at the center of ANY undergraduate curriculum? The dean or assistant/associate provost or whatever for Undergraduate Studies? I think not, at least at present. Will this core undergraduate education be set adrift, lost, and even more under-resourced in a sea of applied work, service to other state needs, and economic development? Not that the latter are unworthy or lack dignity and purity, but these are not the central, core objective of the University, in my opinion. Will these three new colleges proceed to run off on their own to take care of their own people and students, and the hell with others, as is already the case with far too many other colleges on campus? Excellence in instructional activity is already, in my opinion, undervalued, underappreciated, and under resourced already on campus. Will this be exacerbated? Some more minor concerns or questions. Was there any thought to putting Computer Science (back) into the new college of science and math. It seems to me the the primary thrust of this department is indeed in computer \*science\*, not computer engineering. Electrical Engineering is now the Department of Electrical and Computer Engineering. Computer Science seems rather more directly related to Math and Statistics than to Engineering, and they were, until very recently, within A&S. Why not put them back? Seems logical to me. It may well be personal prejudice, but it seems to me that, in this whole grand scheme, the proposed college of Science & Math is left as the weak runt of the system. It is ironic to note that A&S will disappear, but S&M will be born. There are 5 biologically oriented science programs left untouched in the Medical Center, and poor Biology left alone in S&M to duke it out with these people and also do all the undergraduate teaching. What happened to the "one University" concept. There are also many (more applied) science departments in AG. These stay there also. Yes, they be more applied and focused, but they are science departments. Was any thought devoted to a College of Science and Technology, for example, which combines all the "basic math" and science with engineering? This model is followed elsewhere, including, unless I'm mistaken, Cal Tech.

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1. I feel the committee is preparing the report for their own good, but not for the future of the University. 2. Even at present I don't feel the committee is using this as a criterion, I object to use "strength" and "weakness" to select areas for future investment. There are certainly weak areas that we need to build up in order to get into top 20. 3. Instead of throwing money into "thrust areas", resources should be used to motivate and help people to do good. e.g, matching fund, scholarship, chair endowment

etc. If we can get a Nobel laureate here, why should we care whether he/she is a physicist or economist?

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We are a University, where the pure sciences mingle and interact with the humanities. That is what a University is for. Any scientists who wish to isolate themselves from the Arts should leave and join a national lab.

### **C. Comments from Faculty Who Did Not Respond, or Indicated 'Undecided' in Answering the Question Regarding the Proposed Restructuring of the College of A & S (N = 8)**

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Since I do not know what the logic is behind the proposed restructuring--it was sprung rather suddenly on us--I do not have an opinion one way or another.

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Please consider this suggestion: instead of merely gathering yes/no straw votes on a single item, PLEASE request that the futures committee provide data and rationale for ALL of their recommendations. In the absence of data and rationale, no intelligent response is possible---AND I do believe that a response is essential.

\*\*\*\*\*

I don't see how it is possible to make any intelligent comment on the proposal until there are more details. I teach "Operations Research", and the types of problems we consider include complex decision problems such as reorganization of management structure. I don't know if the "Futures Committee" did a cost-benefit analysis but I have not seen one. Reorganization should certainly be considered, but it must include some detailed analysis. Without the analysis, it would be worth a grade of E in my course.

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I am ambivalent about the effect of the restructuring. On the one hand, the new structure joins departments that share disciplinary discourses and modes of pedagogy. On the other hand, it multiplies the administrative burdens of running a college within disciplines that are already under-funded. In addition the humanities could be even further marginalized under this proposal. Some of the other changes make more sense to me, but I don't see many advantages to dividing A&S up.

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At this early stage of deliberations, I don't see how anyone can make a reasoned decision one way or the other without seeing arguments and evidence (on either side). On what basis are the recommendations being made? What is the expected outcome? Why did committee members feel this would be an advantageous arrangement? Furthermore, at this stage I think it might be counterproductive for us to have a knee-jerk reaction against change. It may in fact be a good time to begin fruitful discussions with other colleges/ departments about reorganization on our terms. For example, many universities have journalism and English under one roof. My question at this point is: how can we begin these conversations? Who will take that initiative?

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I'd need more information about the reasons, benefits and the effects of the restructuring before I could respond to the relative value of the change.

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I have an extensive response to the recommendations of the Future's Task Force. The biggest problem at present is that the Task Force has provided no information except recommendations. For restructuring, we have little clue for the rationale for the position they took. For the list of areas for development, there is a similar lack of justification, as well as no information on how resources might actually make a difference. Thus to some extent I respond with a lack of information, and this disturbs me. The issue of restructuring A&S is one ripe for imagination, in either direction. I see some potential that the restructuring will have for breaking A & S out of the general stagnation that the college has experienced. This is particularly true for some of the science disciplines that are probably impeded by the scope of the A&S endeavor. There is more opportunity for units in Math and Science to guide their own destiny, which is attractive. On the other hand, there are also risks. If not done with care, such restructuring could further diminish the impact of the affected units. I also do not know if the turmoil will be worth the potential but unforeseeable future benefits. I have stronger opinions concerning the list of areas for development. There is no question that these are strong areas at the University. Yet, I question whether reallocation to these areas will accomplish much. There are many strong, but not yet outstanding areas at UK. Infusions of funds into such programs could have a much greater impact on the quality of the University. I think it likely that the situation is as follows: Programs at UK that are nearing top 20 status might improve a few places in the rankings by the infusion of funds they will receive. However, if those funds are reallocated from programs that are 30-50th, I think there is the risk that those lose more ground than is gained. For example, loss of 2 faculty lines in Biology will drop it 10s of places in rankings, whereas the gain of 2 faculty in one of these areas will likely change its position very little. The University would probably gain more by bringing more programs ranked 30-50th into the 20-30th range than by moving the top programs up a few notches. Moreover, an astute use of this opportunity for re-evaluation would identify those programs poised to make the greatest leap forward (at any current ranking). The future of this University is not necessarily in the currently strong, but on fostering creative and innovative approaches of the future. I think there are units on campus ranked relatively low that with an influx of relatively modest resources could easily jump 20-40 places in rankings over the next 10 years. I do not think the committee's recommendations reflect such wisdom. Finally, I am disappointed in the lack of emphasis on multi-disciplinary views and integration revealed in the committee's recommendations. There are no tangible recommendations for improving interactions across structural units (certainly none of the structural recommendations appear to foster interchange). Again, this reveals a lack of imagination and leads one to think that the motivations for some of the decisions were based on current power structures rather than the improvement of the academic climate here. However, perhaps the committee has

more detailed ideas on this that have not yet been made public. In general, I hope more information will be forthcoming on the issues that drove these recommendations. I also hope we will have a chance for additional comment once that information is available.

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In the absence of some detailed information concerning the reasons behind these recommendations it is difficult to draw a judgment. For example, I would like to see a pro forma budget which shows the use of capital under the new plan of structure. This information could be compared with existing budgets to determine how the sought for efficiencies are to be obtained. For how else can one proceed?

## Appendix: Email Request and Survey

DATE: 24 February 2002  
TO: Arts & Sciences Faculty  
FROM: Michael Kennedy

Along with many of you, I attended the forum last Friday on the UK Futures Task Force report that proposed dividing the College of Arts & Sciences into three separate colleges. Although there were several from our College who took that opportunity to respond orally to the presentation, it is also clear that the majority of faculty have yet to have a chance to voice their concerns on the matter. As a member of the University Senate, the Senate Council, and, in July, the UK Board of Trustees, I will be in a position to present arguments and vote on the issue of restructuring. In order to do so, I need to know your opinions regarding the proposal. Pasted below is a brief survey that I am asking you to fill out and return to me. I'd appreciate if you would "x" your choices, and just reply by e-mail. Please recognize that for me to be an effective voice, it's vitally important that there be a very high rate of return on this survey.

Just as importantly, I would like to obtain written responses regarding the restructuring. Good points were made at the forum and I'm sure there are many more that were not voiced, but are in the minds of the College faculty. Therefore, in addition to the survey, I am asking you to consider taking the time to add written comments. The points you make will allow me to put together persuasive arguments.

Although we have been advised that faculty are welcome to respond to the Future Committee's recommendations, we've in fact been given a very short time in which to react. Thus I urge everyone to address these proposals as soon as possible, bearing in mind that such changes would have far-reaching consequences for many years to come.

Because of time and expense constraints, this survey is being distributed only by e-mail. If you prefer to make a paper-based response, please feel free to do so. (Michael Kennedy, Dept. of Geography, POT 1451, Campus 0027.) Also, I am well aware that some faculty do not use e-mail or do not check it very frequently. Please let your colleagues know the survey is underway. A further step -- both to publicize the survey and to get responses from non-e-mail users -- would be to print off the text and distribute it to faculty mailboxes.

Some notes on procedure:

- (1) I plan to organize the results next weekend so I will need to have your survey responses and comments by the end of the day, Friday, March 1.
- (2) I will take all the responses and generate a brief report summarizing the findings from the survey and the comments. This report will be distributed to members of the Futures Task Force and to faculty in the College.
- (3) I assume full responsibility for preserving your anonymity -- a factor possibly important to some faculty.

Many thanks,  
Michael Kennedy

## A & S Faculty Survey on Proposed College Restructuring

1. Are you aware of the UK Futures Task Force's recommendations regarding the College of Arts and Sciences?

YES \_\_\_\_\_ NO \_\_\_\_\_

(You may want to consult the Futures Task Force website at:  
<http://www.uky.edu/Futures/OpenForum.pdf>)

2. To which of the new colleges would your department go?

ARTS & LETTERS \_\_\_\_\_  
SCIENCES & MATHEMATICS \_\_\_\_\_  
SOCIAL & BEHAVIORAL SCIENCES \_\_\_\_\_

3. What is your position/rank at UK?

Prof. \_\_\_\_\_ Assoc. Prof. \_\_\_\_\_ Asst. Prof. \_\_\_\_\_ Instructor \_\_\_\_\_

Full time, non-tenure-track \_\_\_\_\_ Part time \_\_\_\_\_ Other \_\_\_\_\_

4. From your perspective, would the proposed arrangement be better or worse than the present framework?

BETTER \_\_\_\_\_ WORSE \_\_\_\_\_

5. Are you in favor of the proposed restructuring?

IN FAVOR \_\_\_\_\_ NOT IN FAVOR \_\_\_\_\_

6. Please offer a written response below (or via attachment) in support of your view on the restructuring or any other aspect of the Task Force's recommendations.

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## TENURED FACULTY REVIEW AND DEVELOPMENT POLICY

This policy is designed to provide definitive guidance to units in supporting tenured faculty to increase their productivity and to identify and address problems in performance.

This policy builds on the current system for conducting regular performance or “merit” reviews, as defined in AR II-1.0-5, of tenured faculty for purposes of salary increases. It requires the following:

A Consequential Review process must be instituted for any faculty member receiving successive unsatisfactory performance or “merit” reviews in a “significant area of work”. For the purposes of this policy, a significant area of work is defined as a Distribution of Effort Agreement greater than 20% in the areas of instruction, research or service. The review is summative in nature and requires a plan to improve performance within a specified period.

Upon recommendation of the department chairperson and approval of the dean, a faculty member subject to evaluation under this plan may be exempted if there are extenuating circumstances (such as health problems). A decision by the chairperson not to recommend such exemption may be appealed to the Dean. A Consequential Review will not be undertaken until the final disposition of any appeal.

The Dean shall notify the faculty member and department chairperson of the initiation of a Consequential Review process and of the procedures of the review.

For a faculty member selected for Consequential Review, the department chairperson shall prepare a review dossier in consultation with the faculty member. The faculty member has the right and obligation to provide for the review dossier all the documents, materials, and statements he or she believes to be relevant and necessary for the review, and all materials submitted shall be included in the dossier. Ordinarily, such a dossier would include at least the following: an up-to-date vita, a teaching portfolio, and a statement on current research or creative work. The chairperson shall add to the dossier any further materials (prior evaluations, other documents, etc.) he or she deems relevant, in every case providing the faculty member with a copy of each item added. The faculty member shall have the right to add any material, including statements and additional documents, at any time during the review process.

The Consequential Review will be conducted by the department chairperson, or at the request of the faculty member by a three-member ad hoc committee consisting of tenured faculty members including one member selected by the Dean, one member chosen by the faculty member, one member selected by the college faculty.

It is not the purpose of the Consequential Review to evaluate the performance of the faculty member but rather to develop a plan to remedy the deficiencies indicated in the performance reviews. It is the responsibility of the department chairperson to recommend the plan that has been developed to the Dean for approval and to monitor the implementation of the plan approved by the Dean. Ideally, the plan should grow out of an iterative collaboration among the faculty member, department chairperson and Dean. The review should be completed within 60 days of notification of the initiation of the review.

It is the faculty member's obligation to assist in the development of a meaningful and effective plan and to make a good faith effort to implement the plan once it is adopted. In the event that the faculty member objects to the terms of the plan, the faculty member may appeal to the appropriate Chancellor. Once the appeal has been resolved, the resulting plan will be implemented.

The plan must:

- 1) Identify the specific deficiencies to be addressed
- 2) Define specific goals or outcomes that are needed to remedy the deficiencies
- 3) Outline the activities that are to be undertaken to achieve the needed outcomes
- 4) Set timelines for accomplishing the activities and achieving the outcomes
- 5) Indicate the criteria for annual progress reviews
- 6) Identify the level and source of any funding which may be required to implement the development plan.

The faculty member and his or her department chairperson should meet each semester to review the faculty member's progress towards remedying the deficiencies. A progress report will be forwarded to the Dean.

Further evaluation of the faculty member within the regular faculty performance evaluation processes of the University may draw upon the faculty member's progress in achieving the goals set out in the plan.

When the objectives of the plan have been met, or in any case no later than three years after the start of the plan, a final report will be prepared by the department chairperson and given to the faculty member. The faculty member will be provided an opportunity to comment on the report if he or she wishes. The faculty member's input will become part of the report submitted to the Dean. If the chairperson states that the objectives of the plan have not been fully met and the faculty member disagrees, the three-member ad hoc committee of tenured faculty members involved in the development of the plan shall be reconvened. If a person who was part of that three-member ad hoc committee is no longer available to serve, his or her successor shall be chosen in the same manner as the original person was chosen. The three-member ad hoc committee will then meet and prepare a report for the Dean. Both the chairperson's report and the report of the three-member ad hoc committee shall be forwarded to the dean, together with any written comments that the faculty member wishes to add, for the dean's final decision.

In those cases where serious deficiencies continue to exist after the Consequential Review plans are completed, dismissal for cause procedures may be initiated.

Each academic unit may create a process for a Developmental Review of tenured faculty, consistent with criteria in AR II-1.0-1, that includes setting individual faculty goals in collaboration with unit chairpersons, deans, and senior faculty colleagues. These reviews should be incorporated into the current performance review process for tenured faculty to minimize administrative burden.

Each chancellor and dean shall develop a process for allocating additional funds as appropriate to provide necessary support for faculty members undertaking a Consequential or Developmental Review.

Each dean shall prepare annually a summary report on cases resulting from the implementation of the Tenured Faculty Review and Development Policy in that college and transmit the report to the chancellor.

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	DATE EFFECTIVE 12/16/00	SUPERSEDES REGULATION DATED 8/30/88 6/11/92 1/18/96 8/18/98 10/8/99

## POLICIES FOR FACULTY PERFORMANCE REVIEW

Changes to this document are in Paragraph C2; they are described in red type.

The following University policies are to be applied in the conduct of faculty performance reviews:

A. The performance of tenured faculty will be reviewed annually or, at the discretion of the dean or president of the college, during the first year of each biennium with the rating applying for the biennium. Any tenured faculty member, upon request, shall be granted an annual review.

The performance of non-tenured faculty will be reviewed annually. Special attention will be given to the evaluation of persons in their first year of employment to maximize effective guidance.

In the University System, the Department/Division Chair will review each faculty member and recommend an evaluation rating to the dean/community college president of the college to which the department/division is assigned. The performance of each faculty member appointed in the extension title series will be reviewed by the chairperson of the department to which the individual is assigned and the dean of the college in which the individual's position is funded, using the evaluation instrument and appeal process of the college in which the individual's position is funded. For a faculty member with a joint appointment, where the secondary appointment comprises no more than twenty percent of the faculty member's effort, the chair of the department/division in which the faculty member has a primary appointment will evaluate the performance of the faculty member, with input from the chair of the department/division in which the individual has a secondary appointment. If the secondary appointment comprises more than twenty percent of the faculty member's effort, the faculty member will be evaluated by the department/division chairs in the primary department and the secondary department.

In a Graduate Center, the Center Director will review each faculty member assigned to the center and recommend an evaluation rating to the Dean of the Graduate School. A faculty member who has a joint appointment, where the secondary appointment in a center or institute comprises no more than twenty percent of the faculty member's effort, will be reviewed by the chair of the department in which the individual has a primary appointment, with input from the director of the respective center or institute. If the secondary appointment in a center or institute comprises more than twenty percent of the faculty member's effort, then the individual will be evaluated in both the primary department and the center or institute.

The performance of faculty on assignment in international programs or in other out-of-state programs shall be evaluated on the basis of their performances and accomplishments in their assigned areas of activity (refer to Section A of AR II-1.1-8).

Exceptions to these performance review policies will apply in cases of (1) tenured faculty who will retire before or at the end of the current fiscal year, and (2) non-tenured faculty whose appointments will not be renewed.

1. A primary purpose of the performance review is individual and institutional self-improvement. To help in achieving this purpose, the performance review will determine for each faculty member both a quantitative assessment and a qualitative judgment of the faculty member's activities during the review period in teaching and advising, research and scholarship, University and public service, and other appropriate activities with relative weightings based on a prior agreement pertinent to the distribution of effort among any or all of these activities.

2. To serve this purpose, inputs from students, colleagues, and administrators are to be used. Teaching, advising, research, and service assignments must be evaluated in annual and biennial reviews and in appointment, retention, promotion, and tenure. The results of these evaluations shall be considered in the decisions concerning retention, promotion, and merit ratings of each faculty member.

The assessment of teaching shall include the results of student appraisals for at least one semester per year, peer

faculty appraisals based upon review of course syllabi, course materials, text, learning exercises, exams and in class presentation where applicable, and also other relevant information. Colleges, working through appropriate University bodies, shall develop some means to evaluate the quality as well as the quantity of academic advising done by each faculty member. As this procedure is developed and implemented, the results of this evaluation shall be considered in the annual performance review. The extent and character of each faculty member's teaching and advising should be documented by a body of supporting materials regularly maintained and updated by the faculty member. For the University System, such documentation shall include a teaching portfolio as outlined in Appendix I.

3. Evaluation of Collaborative Efforts: The products of collaborative and multidisciplinary efforts in teaching, research, and service shall be evaluated. The faculty member shall document the contribution he/she has made to the collective project. The appraisal of the faculty member's effectiveness as part of the collaborative or multidisciplinary effort should include evaluation statements by the other members of the team.

4. The quantitative data are to be provided at least once annually by the faculty member to the department or division chairperson through an instrument approved by the appropriate chancellor or vice president.

5. These data are to be supplemented by other inputs of the educational unit as pertinent.

B. Reviews are to be based upon the distribution of effort performed by the faculty member.

1. In any case for which an agreement on the distribution of effort has not been developed previously, the distribution of effort depicted by other approved instrument for the current year will be used.

2. During the spring semester of each year, the administrator of each educational unit (e.g., department, division, school, community college, or college organized as whole) with advice from the faculty of the unit will develop an overall distribution of faculty time for approval by the dean or president of the college or next administrative officer. In any case of disagreement that is not readily resolved, the decision of the dean or president of the college or next administrative officer will be final.

3. A written agreement is to be developed annually between the unit administrator and the faculty member on the distribution of effort expected of the faculty member in major activities during the succeeding year. For any faculty member who is or will be associated with a multidisciplinary research center or institute, the agreement shall be consistent with the conditions of establishment of the faculty position and signed by the faculty member, director of the research center or institute, the department chairperson, and the dean. In case of lack of agreement on the distribution of effort, the next higher level of University administration will become involved in resolving any issues. In case of a significant change in the faculty member's distribution of activities during the review period, an appropriately revised agreement is to be negotiated. An individual who is hired with the prospect of becoming a tenured faculty member shall be assigned duties by the unit commensurate with making due progress toward meeting requirements for tenure. The annual performance review of each non-tenured faculty member shall include some discussion with the unit administrator of the individual's progress toward consideration for tenure in terms of the unit's expectations.

4. The unit administrator shall consult with the tenured members of the faculty regarding the progress of each non-tenured faculty member toward consideration for tenure in terms of the unit's expectations. Consultation about a non-tenured faculty member who has been or is on assignment in an international program or in some other out-of-state program shall include, if the individual is eligible to be considered for tenure, evaluations of the individual's performance and accomplishments in assigned areas of activities in such programs (refer to Sections A and D of AR II-1.1-8). For each non-tenured faculty member who is associated with any multidisciplinary research centers or institutes, the unit administrator also shall consult with the directors of the pertinent centers or institutes. These discussions should occur at the end of the non-tenured faculty member's second and fourth years, but may occur more frequently at the administrator's discretion. The results of these discussions should be communicated to the individual non-tenured faculty member and a record maintained in the faculty member's file.

C. Rankings or ratings are to be used.

1. At least three evaluative groupings are to be used, whether letter, numerical, or descriptive designations.

In the Paragraph below the word "unsatisfactory" was changed from "marginal". The last sentence has been added.

2. The rankings are to be designed to recognize both outstanding and unsatisfactory performances as well as those appraised as degrees of good or satisfactory. Each academic unit must develop a clear set of expectations for satisfactory performance linked to the distribution of effort agreement.

D. An appeals process is to be developed for both the college and the academic sector (Medical Center, Lexington Campus, Community College System, Research and Graduate Studies, or Information Systems) levels.

1. On the sector level, under certain conditions and after being considered in the college, appeals can be addressed to the appropriate chancellor or vice president.

2. An appeal emanating from a college shall be considered by a committee appointed by the chancellor or vice president; after a hearing, the committee will make a recommendation to the chancellor or vice president whose decision shall be final.

E. The responsibility for developing the procedures by which the policies for faculty performance review are to be implemented in each academic sector of the University is centered in the office of the chancellor or vice president for that academic sector.

1. The colleges are the focal points to which the review procedures are delegated.

2. The dean or president of each college is responsible for the exercise of the procedures.

## APPENDIX I

### Teaching Portfolio (University System)

#### A. Teaching Evaluation

The teaching portfolio is composed of a variety of materials related to teaching and advising collected and maintained by the faculty member. It serves as an instrument for review, evaluation, and improvement of teaching and advising. The teaching portfolio enables faculty to describe their teaching assignments, methods, and circumstances, which - of necessity - vary widely in a complex university environment. The portfolio concept encourages faculty to submit a variety of materials that describe, explain, and assess teaching, advising, and related activities. Just as publications, extramural grants, and peer evaluations testify to the nature and quality of a faculty member's research, materials contained in the portfolio document the nature and quality of a faculty member's teaching and advising.

The following items are required for documentation of teaching:

1. A brief reflective statement by the instructor which describes teaching and advising assignments, sets forth philosophies or objectives, and provides whatever information may be necessary to provide colleagues with a context for interpreting and understanding the other evaluative information.

2. For each semester under review, a list of all courses taught, with the title, course number, number of students enrolled, and - for each different course - a short description.

3. Representative course syllabi.

4. A quantitative and qualitative summary of student evaluations.

The following items are suggested but not required:

1. Materials prepared for teaching activities, such as assignments, exercises, handouts, examinations or other assessment materials.

2. Indicators of student learning: such as examples of graded work; reference to students who succeed in advanced courses of study and/or who earn academic awards; accomplishments of former students; evident of learning by use of pre-and post-testing procedures.

3. Evidence of peer regard: colleague class visitation reports; peer evaluations of course content,

materials, assignments, and practices.

4. Documentation of teaching-related activity: curriculum and course development; consulting work; innovative teaching methods; participation in teaching programs of other units or at other universities.

5. Evidence of recognition: teaching related grants; publications related to teaching and advising; teaching awards and honors.

6. Enumeration and description of work with individual students: supervision of Honors students, graduate students, independent or experiential learning; consultation with students outside the department.

#### B. Advising Evaluation

Where advising is a portion of the faculty member's usual assignment, evaluation should include the extent of advising and its quality along with an indication of the grounds for evaluation.

The portfolio must include the following items:

1. A section of the reflective statement which describes the nature and extent of advising and any other information necessary to provide colleagues with a context for evaluation of advising.

2. For each semester under review, the number and level of undergraduate and graduate program advises, and a list of masters and doctoral students for whom the instructor served as a member of a thesis or advisory committee.

3. A list of those students for whom the professor served as preceptor, or director of a thesis or dissertation.

4. Summary of activities associated with student organizations and service on student-faculty committees.

5. Student evaluation of advising.

The following item is suggested but not required:

Evaluation of advising by unit colleagues or administrators.

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## Final Document Proposed by UK-AAUP

### Typeface key:

- Original AR Submitted by the UK Administration
- **Substitute language suggested by the Faculty Senate 13 November 2000 -- under consideration by the UK Administration**
- **Substitute language required by the Faculty Senate for approval and agreed to by the Senate Council and the UK Administration**

### TENURED FACULTY REVIEW AND DEVELOPMENT POLICY

This policy is designed to provide definitive guidance to units in supporting tenured faculty to increase their productivity and to identify and address problems in performance.

This policy builds on the current system for conducting regular performance or "merit" reviews, as defined in AR II-1.0-5, of tenured faculty for purposes of salary increases. It requires the following:

A Consequential Review process must be instituted for any faculty member receiving successive unsatisfactory performance on "merit" reviews, **conducted on the regular schedule for the unit**, in a "significant area of work". For the purposes of this policy, a significant area of work is defined as a Distribution of Effort Agreement greater than 20% in the areas of instruction, research or service. The review is summative in nature and requires a plan to improve performance within a specified period.

Upon recommendation of the department chair and approval of the dean, a faculty member subject to evaluation under this plan may be exempted if there are extenuating circumstances (such as health problems). A decision by the chair not to recommend such exemption may be appealed to the Dean. **A further option that could exempt a faculty member from a Consequential Review is a substantial change in the distribution of effort (DOE); such a change would imply assignment of new duties to the faculty member and would need to be approved by the chair and the dean.** A Consequential Review will not be undertaken until the final disposition of any appeal.

The Dean shall notify the faculty member and department chair of the initiation of a Consequential Review process and of the procedures of the review.

For faculty selected for Consequential Review, the department chair shall prepare a review dossier in consultation with the faculty member. The faculty member has the right **[delete: and obligation]** to provide for the review dossier all the documents, materials, and statements he or she believes to be relevant and necessary for the review, and all materials submitted shall be included in the dossier. Ordinarily, such a dossier would include at least the following: an up-to-date vita, a teaching portfolio, and a statement on current research or creative work. The chair shall add to the dossier **relevant materials from prior evaluations** he or she deems relevant, in every case providing the faculty member with a copy of each item added. The faculty member shall have the right to add any material, including statements and additional documents, at any time during the review process.

The Consequential Review will be conducted by the department chair, or at the request of the faculty member by a three-

member ad hoc committee of tenured faculty members including one member selected by the Dean, one member chosen by the faculty member, one member selected by the college faculty.

**"The Consequential Review will be conducted by either**

- **the department chair**
- **a three member ad hoc committee of tenured faculty, not including the chair but including (a) one member of the college council selected by the dean, (b) one member chosen by the college council who do not serve on the council, and (c) one member chosen by the faculty member**
- **a committee of tenured faculty appointed by the college council.**

**(In the event a college does not have an elected college council as such, the appointments will be made by an ad hoc elected faculty committee.)**

**The faculty member will select the reviewing agent from these three options. The reviewing agent will create a development plan designed to remedy the deficiencies indicated in the performance reviews.**  
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It is not the purpose of the Consequential Review to evaluate the performance of the faculty member but rather to develop a plan to remedy the deficiencies indicated in the performance reviews. It is the responsibility of the department chairperson to recommend the plan that has been developed to the Dean for approval and to monitor the implementation of the plan approved by the Dean. Ideally, the plan should grow out of an iterative collaboration among the faculty member, department chair and dean. The review should be completed within 60 days of notification of the initiation of the review.

It is the faculty member's obligation to assist in the development of a meaningful and effective plan and to make a good faith effort to implement the plan once it is adopted. In the event that the faculty member objects to the terms of the plan, the faculty member may appeal to the appropriate chancellor. Once the appeal has been resolved, the resulting plan will be implemented.

The plan must:

- 1) Identify the specific deficiencies to be addressed
- 2) Define specific goals or outcomes that are needed to remedy the deficiencies
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- 5) Indicate the criteria for annual progress reviews
- 6) Identify the level and source of any funding which may be required to implement the development plan.

The faculty member and his or her department chair should meet each semester to review the faculty member's progress towards remedying the deficiencies. A progress report will be forwarded to the dean.

Further evaluation of the faculty member within the regular faculty performance evaluation processes of the University may draw upon the faculty member's progress in achieving the goals set out in the plan.

When the objectives of the plan have been fully met, or in any case no later than three years after the start of the plan, a final report will be made by the department chair to the faculty member and the dean. The department chair shall provide the faculty member with a copy of the report before sending the report to the dean and the faculty member will be provided an opportunity to comment on the report if he or she wishes. **The faculty member's input will become part of the report submitted to the dean.**

When the objectives of the plan have been met, or in any case no later than three years after the start of the plan, a final report will be prepared by the department chair and given to the faculty member. The faculty member will be provided an opportunity to comment on the report if he or she wishes. If the chair states that the objectives of the plan have not been fully met and the faculty member disagrees, (assuming the chair did not initially develop the plan) the three-member ad hoc committee of tenured faculty members that originally developed the plan shall be reconvened. If a person who was part of that three-member ad hoc committee is no longer available to serve, his or her successor shall be chosen in the same manner as the original person was chosen. The three-member ad hoc committee shall prepare a written evaluation of the faculty member's performance in meeting the objectives of the plan. The chair and the three-member ad hoc committee will then meet and try to reach a consensus for a report to the dean. In the event that no consensus is reached, both the chair's report and the report of the three-member ad hoc committee shall be forwarded to the dean, together with any written comments that the faculty member wishes to add.

[Delete: In those cases where serious deficiencies continue to exist after the Consequential Review plans are completed, dismissal for cause procedures may be initiated. ]

Each academic unit may create a process for a Developmental Review of tenured faculty, consistent with criteria in AR II-1.0-1, that includes setting individual faculty goals in collaboration with unit chairs, deans, and senior faculty colleagues. These reviews should be incorporated into the current performance review process for tenured faculty to minimize administrative burden.

Each Chancellor and Dean shall develop a process for allocating additional support funds in appropriate cases to provide support to faculty members undertaking a Consequential or Developmental Review.

Each Dean shall prepare annually a summary report on cases resulting from the implementation of the Tenured Faculty Review and Development Policy in that College and transmit the report to the Chancellor **with a copy to the Senate Council**.

**During the seventh year after the effective implementation date of this policy, the University Office for Institutional Research will survey a scientifically constructed sample of faculty and unit heads to determine perceptions of the strengths and weaknesses of the policy. The Senate Council will appoint a Policy Review Committee to use the analysis of survey results and the unit head reports provided by the Office for Institutional Research to review the policy and make recommendations to the Senate through the Senate council by the end of the seventh year of the policy's operation. The policy must be reapproved by both the Senate and Board of Trustees after seven years (i.e. a sunset clause).**

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The Problem: the AR proposed by the administration does not reflect the will of the Senate

On 13 December 1999 the University Senate approved a *Tenured Faculty Review and Development Policy*. Following this action, through considerable discussion involving the Administration, members of the Senate Council, and, on occasion, representatives of UK-AAUP, the Senate's work was recast as a proposed Administrative Regulation (AR). Unfortunately the proposed AR, in the view of UK-AAUP:

- 1) is not in conformance with the will of the Senate, and
- 2) contains a few major deficiencies and one fatal flaw.

The issue is up for a vote at the Monday 13 November 2000 meeting of the Senate. The Senate cannot amend the administration's AR as such. But it can reject it and recommend wording that would be in conformance with its original intention. (The original Senate version was the result of an 18 month project by a Senate committee, plus five years of experience with the Arts & Sciences tenured faculty review policy, plus 18 months of deliberation before that.)

At the 13 November Senate meeting AAUP will move passage of a resolution rejecting the administration's version of the AR, proposing new wording making slight but significant changes, and ask the AR be renegotiated with the Administration -- with members of the Senate Council and UK-AAUP involved.

Many thanks for your consideration.

Sincerely,  
Michael Kennedy  
President, UK-AAUP

[To see the repairs to the proposed AR that bring it in line with the Senate version, click here.](#)

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## Modifications Proposed by UK-AAUP

### Typeface key:

- Original AR Submitted by the UK Administration
- UK-AAUP Comments
- "UK-AAUP Proposed Substitute Language"

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This policy builds on the current system for conducting regular performance or "merit" reviews, as defined in AR II-1.0-5, of tenured faculty for purposes of salary increases. It requires the following:

A Consequential Review process must be instituted for any faculty member receiving successive unsatisfactory performance on "merit" reviews [", **conducted on the regular schedule for the unit**"], in a "significant area of work". For the purposes of this policy, a significant area of work is defined as a Distribution of Effort Agreement greater than 20% in the areas of instruction, research or service. The review is summative in nature and requires a plan to improve performance within a specified period.

Upon recommendation of the department chair and approval of the dean, a faculty member subject to evaluation under this plan may be exempted if there are extenuating circumstances (such as health problems). A decision by the chair not to recommend such exemption may be appealed to the Dean. **The next statement represents a provision that was part of the Senate's version. It restores a primary mechanism used by the Arts & Sciences College in resolving performance matters. "A further option that could exempt a faculty member from a Consequential Review is a substantial change in the distribution of effort (DOE); such a change would imply assignment of new duties to the faculty member and would need to be approved by the chair and the dean."** A Consequential Review will not be undertaken until the final disposition of any appeal.

The Dean shall notify the faculty member and department chair of the initiation of a Consequential Review process and of the procedures of the review.

For faculty selected for Consequential Review, the department chair shall prepare a review dossier in consultation with the faculty member. The faculty member has the right and obligation to provide for the review dossier all the documents, materials, and statements he or she believes to be relevant and necessary for the review, and all materials submitted shall be included in the dossier. Ordinarily, such a dossier would include at least the following: an up-to-date vita, a teaching portfolio, and a statement on current research or creative work. The chair shall add to the dossier any further materials (prior evaluations, other documents, etc.) he or she deems relevant, in every case providing the faculty member with a copy of each item added. The faculty member shall have the right to add any material, including statements and additional documents, at any time during the review process.

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The Consequential Review will be conducted by the department chair, or at the request of the faculty member by a three-member ad hoc committee of tenured faculty members including one member selected by the Dean, one member chosen by the faculty member, one member selected by the college faculty.

Problems with the language of the proposed AR in the paragraph above are:

- Leaves out mention of a college council, which all but the smallest colleges should have. (How does a college faculty of 350 people appoint a committee member, as the AR suggests.)
- Deletes one of the faculty member's options -- possibly the best one.

UK-AAUP recommends replacing the language of the AR with the three paragraphs below, which adhere closely to the original Senate version:

"The Consequential Review will be conducted by either

- the department chair
- a three member ad hoc committee of tenured faculty, not including the chair but including (a) one member of the college council selected by the dean, (b) one member chosen by the college council who do not serve on the council, and (c) one member chosen by the faculty member
- a committee of tenured faculty appointed by the college council.

(In the event a college does not have an elected college council as such, the appointments will be made by an ad hoc elected faculty committee.)

The faculty member will select the reviewing agent from these three options. The reviewing agent will create a development plan designed to remedy the deficiencies indicated in the performance reviews.  
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It is not the purpose of the Consequential Review to evaluate the performance of the faculty member but rather to develop a plan to remedy the deficiencies indicated in the performance reviews. It is the responsibility of the department chairperson to recommend the plan that has been developed to the Dean for approval and to monitor the implementation of the plan approved by the Dean. Ideally, the plan should grow out of an iterative collaboration among the faculty member, department chair and dean. The review should be completed within 60 days of notification of the initiation of the review.

It is the faculty member's obligation to assist in the development of a meaningful and effective plan and to make a good faith effort to implement the plan once it is adopted. In the event that the faculty member objects to the terms of the plan, the faculty member may appeal to the appropriate chancellor. Once the appeal has been resolved, the resulting plan will be implemented.

The plan must:

- 1) Identify the specific deficiencies to be addressed
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- 5) Indicate the criteria for annual progress reviews

6) Identify the level and source of any funding which may be required to implement the development plan.

The faculty member and his or her department chair should meet each semester to review the faculty member's progress towards remedying the deficiencies. A progress report will be forwarded to the dean.

Further evaluation of the faculty member within the regular faculty performance evaluation processes of the University may draw upon the faculty member's progress in achieving the goals set out in the plan.

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When the objectives of the plan have been fully met, or in any case no later than three years after the start of the plan, a final report will be made by the department chair to the faculty member and the dean. The department chair shall provide the faculty member with a copy of the report before sending the report to the dean and the faculty member will be provided an opportunity to comment on the report if he or she wishes.

The above paragraph is at considerable variance with the policy the University Senate approved and is unacceptable to UK-AAUP. Up to this point the proposed AR has made a good start of providing peer review of the faculty member's performance. The language above basically turns the determination of the fate of the faculty member over to the administration with no further peer review. UK-AAUP has seen enough cases of administrators attempting to destroy faculty members so that we consider this a deal breaker.

The language below represents what UK-AAUP believes to be an acceptable compromise between the University Senate version and the administration's version:

"When the objectives of the plan have been met, or in any case no later than three years after the start of the plan, a final report will be prepared by the department chair and given to the faculty member. The faculty member will be provided an opportunity to comment on the report if he or she wishes. If the chair states that the objectives of the plan have not been fully met and the faculty member disagrees, (assuming the chair did not initially develop the plan) the three-member ad hoc committee of tenured faculty members that originally developed the plan shall be reconvened. If a person who was part of that three-member ad hoc committee is no longer available to serve, his or her successor shall be chosen in the same manner as the original person was chosen. The three-member ad hoc committee shall prepare a written evaluation of the faculty member's performance in meeting the objectives of the plan. The chair and the three-member ad hoc committee will then meet and try to reach a consensus for a report to the dean. In the event that no consensus is reached, both the chair's report and the report of the three-member ad hoc committee shall be forwarded to the dean, together with any written comments that the faculty member wishes to add."

If the matter should go into appeal within the University or to the legal arena, a faculty member unfairly under attack would have the report of the three-member ad hoc committee to fall back on if it favored him or her. If the faculty member truly did not perform the three-member ad hoc committee will probably back up the chair. What absolutely won't wash is completely removing peer review and turning the process over to the administration after the faculty member has attempted to complete the plan mapped out.

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UK-AAUP suggests completely eliminating the paragraph below. The Senate version had a fair amount of language that put the matter of dismissal for cause in context and was consistent with the idea that the purpose of the TFRDP is constructive in nature. It also made clear that dismissal for cause was carefully prescribed as a separate process. (It is embodied in KRS 164.230: a faculty member may be dismissed only

for reasons of incompetence, neglect of or refusal to perform duties, or for immoral conduct.)

**Remove:** In those cases where serious deficiencies continue to exist after the Consequential Review plans are completed, dismissal for cause procedures may be initiated.

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Each academic unit may create a process for a Developmental Review of tenured faculty, consistent with criteria in AR II-1.0-1, that includes setting individual faculty goals in collaboration with unit chairs, deans, and senior faculty colleagues. These reviews should be incorporated into the current performance review process for tenured faculty to minimize administrative burden.

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WHEREAS the University Senate of the University of Kentucky adopted a Tenured Faculty Review and Development Policy (TFDP) on 11 December 1999, and

WHEREAS the University Senate of the University of Kentucky adopted a Tenured Faculty Review and Development Policy (TFRDP) on 11 December 1999, and

WHEREAS said TFRDP contained a provision that any substantive changes must be approved by the full University Senate, and

WHEREAS the proposed Administrative Regulation does contain substantive changes from the intent of the policy approved by the University Senate, and

WHEREAS such changes create a situation that may limit the extent of peer review and otherwise adversely affect the rights and privileges of members of this faculty, and

WHEREAS it is the right and obligation of the Senate to provide its advice to the administration on matters of academic policy, and to determine the content and format of such advice,

BE IT THEREFORE RESOLVED that the University Senate rejects the proposed AR presented by the UK administration, and

BE IT FURTHER RESOLVED that the University Senate endorses the revised AR attached to this resolution, and

BE IT FURTHER RESOLVED that the University Senate requests that the Senate Council and UK Chapter of the American Association of University Professors (UK-AAUP) appoint a joint committee to seek a meeting with the administration of the University to attempt to secure approval of the attached document, and

BE IT FURTHER RESOLVED that if there are substantive changes to the attached document, said document must be returned to the University Senate for its approval.

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## **UK-AAUP News -- Spring 2000**

### **All Faculty Meeting -- April 26**

#### **Talk with those who will nominate the next UK President**

All faculty are invited to meet with Faculty and Staff Search Committee Members, and UK Faculty Trustees. Please mark your calendar for Wednesday 26 April, 3:30 -- 5:00, Whitehall CB 106. The choice of the next president might be the most important decision made at UK this decade. So far it is going our way. We know this is the end of the semester and you're busy, but please consider how much large attendance and good ideas might mean to the process of choosing the next President, and how much a good choice would positively affect all of us.

### **Your Health: Prices UP, Care DOWN.**

#### **UK-AAUP to take on those who administer our "Benefits"**

Every year UK tells us about our pay raises but says nothing about pay cuts. However, it was hard to miss this year's pay cut in the recently arrived Benefits Booklet.

What were those cuts? To start with our health insurance coverage diminished dramatically due to about doubling of the annual deductible. This comes on top of recent increases in drug co-payments.

We have less coverage, but substantially higher premiums. It is true that medical costs are going up, but at a fraction of the rate of our premium increases. From February 1997 to February 2000, medical expenditures rose 10.3% on the Consumer Price Index. In comparison the UKHMO premium increased 30% from 1997 to 2000-01 for coverage for an employee and spouse and 33% for those with family coverage. (UK says it spends \$182.95 for individual UKHMO coverage, a 27% increase over the premium it said it paid in 1997.) The premium increase for Option 2000 coverage has been even more outrageous: 45% for individuals, 57% to include a spouse, and 80% for family coverage.

Despite the high cost of our health insurance, the Chapter's 1998 survey showed that none of the offered plans meet faculty needs for dependents living elsewhere or faculty engaged in sabbatical, summer or other extended stays outside Kentucky.

President Wethington's contract provides full payment for family health insurance of his choice. Perhaps faculty will do better if the new President receives the same benefits options as the rest of us! (See the 1988 study on our web page: [www.uky.edu/OtherOrgs/AAUP](http://www.uky.edu/OtherOrgs/AAUP). The address is case sensitive; use lower case and capital letters where shown.)

Alvin Goldman, College of Law

### **The Summer of Our Discontent**

#### **Report available (free) on the events of the Wethington non-reappointment and the subsequent UK-BoT transformation**

UK-AAUP has prepared a brief report on the events of last summer and fall that resulted in the UK Board

rescinding its decision on re-appointing Dr. Wethington for an additional two years and the installation of a new set of officers. It is available on the UK-AAUP web page ([www.uky.edu/OtherOrgs/AAUP](http://www.uky.edu/OtherOrgs/AAUP)) or, if you want a paper copy, e-mail [kennedy@pop.uky.edu](mailto:kennedy@pop.uky.edu).

## **Detailed UK Salary Report Available Salaries at the Departmental Level Published by UK-AAUP**

The standard salary report (approximately 50 pages) that UK-AAUP provides each year will be available for sale at the 26 April All-Faculty Meeting. The cost is \$3.00 for AAUP members, \$5.00 otherwise.

## **We Support the "No-Sweat" Students**

This resolution was passed unanimously by the UK-AAUP Executive Committee: "We join in Dr. Wethington's statement of being heartened by the recent student group expression of concern about the welfare of workers. We are disappointed, however, that the Administration did not show greater patience before calling in law enforcement authorities to end the sit-in which, at most, caused only marginal inconvenience or disruption."

## **Appoint A New Permanent Chancellor Now? We Don't Think So. UK-AAUP, Senate Council, Senate, and Emeriti Faculty Blunt the Attempt.**

The following is an excerpt of the resolution adopted by the Executive Committee UK-AAUP on 28 February 2000:

"In ordinary circumstances, because of the Chancellor's very important role, the appointment of a new Chancellor requires a careful national search to identify the very best qualified candidates. Such a search cannot be accomplished in the few months proposed by Dr. Wethington. Moreover, even after a thorough search for a new Chancellor, it would be unwise to make such an appointment under the present circumstances in which the University is in the midst of a search for a new President because it would seriously encumber the new President's ability to assemble his or her cabinet of choice. Indeed, such poorly timed action undoubtedly would discourage many fine potential candidates from being available for either office at this university."

A copy of the complete resolution was sent to each Trustee individually. The cover letter said in part:

"We are taking the unusual step of sending you a resolution, passed unanimously by the AAUP Executive Committee, because . . . this issue is of great concern to the UK faculty. We sincerely hope that you can take action to defuse this situation. We cannot understand why Dr. Wethington would presume to appoint a permanent chancellor in his last year in office and we hope the Board will prevent him from doing so."

The complete text of the resolution and the cover letter are available on the UK-AAUP web site: [www.uky.edu/OtherOrgs/AAUP](http://www.uky.edu/OtherOrgs/AAUP). It now seems unlikely that a new Chancellor will be named this summer.

## **"Post-Tenure" Review**

The Tenured Faculty Review and Development Policy, passed by the University Senate and containing

amendments proposed by UK-AAUP, is now in the hands of the Administration. There is currently no word as to when it will be presented to the University Board of Trustees by the President's Office. However, the Policy's Implementation" section states:

"This policy is submitted for administrative review with the formal condition that any substantive change in the policy nullifies Senate approval and requires reconsideration by the full Senate. Effective Implementation is Fall 2000."

Printed copies of the ten-page policy may be obtained from AAUP for \$0.50 at the 26 April All-Faculty Meeting. Or print from the UK-AAUP web page: [www.uky.edu/OtherOrgs/AAUP](http://www.uky.edu/OtherOrgs/AAUP). Or obtain an E-mailed copy, in MS Word format, free. Request from [kennedy@pop.uky.edu](mailto:kennedy@pop.uky.edu).

**In This Critical Year, Join AAUP for Half Price  
An Offer You Can Refuse But Probably Shouldn't**

Seventeen cents a day gets you membership in national AAUP (including the publication *Academe* and a number of other benefits), the Kentucky Conference, and UK-AAUP. The most critical decision UK will make in years -- the choice of a President -- is coming up quickly. UK-AAUP intends to make the voice of the faculty heard. We need your ideas, your help, and your membership. You can pay the \$60 (\$30 for non-tenured faculty) for the year in a lump sum or have \$5 (\$2.50) per month deducted from your checking account. (We did have a UK payroll deduction program but UK cancelled that because of its fear of unions.) To join please e-mail [kennedy@pop.uky.edu](mailto:kennedy@pop.uky.edu) or call 257-6494.



**CAMPUS  
UK-AAUP  
P.O. Box 730  
University Station  
SpeedSort 0025**





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American Association of University Professors  
University of Kentucky Chapter

Resolution Adopted by the Executive Committee of the  
University of Kentucky Chapter,  
American Association of University Professors

February 28, 2000

TO: Board of Trustees, University of Kentucky

FROM: Executive Committee, Campus Chapter, AAUP

RE: Vacancy in the Post of Chancellor for the Lexington Campus

Under the University's present administrative structure, the Chancellor for the Lexington Campus is the chief academic officer with decisional responsibilities relating to programs, plans, and priorities including academic appointments, promotion, tenure, budget planning and management, support services, and academic planning and coordination. Additionally, as chief operating officer for the Lexington campus, the Chancellor plays a key role in carrying forward the President's administrative policies.

In ordinary circumstances, because of the Chancellor's very important role, the appointment of a new Chancellor requires a careful national search to identify the very best qualified candidates. Such a search cannot be accomplished in the few months proposed by Dr. Wethington. Moreover, even after a thorough search for a new Chancellor, it would be unwise to make such an appointment under the present circumstances in which the University is in the midst of a search for a new President because it would seriously encumber the new President's ability to assemble his or her cabinet of choice. Indeed, such poorly timed action undoubtedly would discourage many fine potential candidates from being available for either office at this university.

For the above reasons, the Board of Trustees is respectfully urged to direct President Wethington to recommend an appointee for the post of Acting Chancellor to serve until President Wethington's successor takes office. In addition, to ensure that the Acting Chancellor has the confidence of the academic community, the Board is respectfully urged to direct President Wethington to recommend the Acting Chancellor from among three candidates nominated by the University Senate Council.





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AMERICAN ASSOCIATION OF UNIVERSITY PROFESSORS  
UNIVERSITY OF KENTUCKY CHAPTER

February 28, 2000

(Board Member)  
(address)

Dear (Board Member)

We are taking the unusual step of sending you a resolution, passed unani-mously by the AAUP Executive Committee, because the time until the next Board meeting is very short and this issue is of great concern to the UK faculty.

We are very concerned that if Dr. Wethington attempts to appoint a permanent chancellor we will have a situation similar to that of last summer, which did the University no good at all. Already the University Senate Council has passed resolutions on this matter (please contact Dr. Roy Moore for the details if you wish) and the full Senate will meet the day before your Board meeting to con-sider this issue. We sincerely hope that you can take action to defuse this situa-tion. We cannot understand why Dr. Wethington would presume to appoint a permanent chancellor in his last year in office and we hope the Board will pre-vent him from doing so.

Sincerely,

Michael Kennedy  
Chapter President

Encl.



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## Your Health: Prices UP, Care DOWN. UK-AAUP to take on those who administer our "Benefits"

Every year UK tells us about our pay raises but says nothing about pay cuts. However, it was hard to miss this year's pay cut in the recently arrived Benefits Booklet.

What were those cuts? To start with our health insurance coverage diminished dramatically due to about doubling of the annual deductible. This comes on top of recent increases in drug co-payments.

We have less coverage, but substantially higher premiums. It is true that medical costs are going up, but at a fraction of the rate of our premium increases. From February 1997 to February 2000, medical expenditures rose 10.3% on the Consumer Price Index. In comparison the UKHMO premium increased 30% from 1997 to 2000-01 for coverage for an employee and spouse and 33% for those with family coverage. (UK says it spends \$182.95 for individual UKHMO coverage, a 27% increase over the premium it said it paid in 1997.) The premium increase for Option 2000 coverage has been even more outrageous: 45% for individuals, 57% to include a spouse, and 80% for family coverage.

Despite the high cost of our health insurance, the Chapter's 1998 survey showed that none of the offered plans meet faculty needs for dependents living elsewhere or faculty engaged in sabbatical, summer or other extended stays outside Kentucky.

President Wethington's contract provides full payment for family health insurance of his choice. Perhaps faculty will do better if the new President receives the same benefits options as the rest of us! (See the 1988 study on our web page: [www.uky.edu/OtherOrgs/AAUP](http://www.uky.edu/OtherOrgs/AAUP). The address is case sensitive; use lower case and capital letters where shown.)

Alvin Goldman, College of Law

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**UK AAUP home**

# REPORT ON DEFICIENCIES IN U.K.'s EMPLOYEE HEALTH CARE INSURANCE

## BACKGROUND

Each year U.K. faculty and staff invest both directly and indirectly a substantial amount of money for health insurance. U.K. employees typically make annual direct payments, with after tax dollars, of two to three thousand dollars, and sometimes more, for the health insurance coverage of family members. In addition, as part of our compensation package, U.K. employees annually pay approximately \$1,700 a year with pre-tax dollars for our own health insurance coverage.<sup>(1)</sup>

The cost to the faculty of health care insurance pales in comparison to the need for assurance that the best possible care will be available in times of serious illness or injury and that the stress for the patient and family will not be compounded by access to that care being hampered by administrative roadblocks or unreasonable coverage or payment restrictions.

In November 1997 the U.K. Chapter of the American Association of University Professors surveyed the Lexington and Medical Center campus faculties to obtain a more precise understanding of experience with, problems encountered, and assessment of the University's current health insurance program. The survey relied on a single mailing to faculty, by campus mail, using a one page questionnaire. Completed questionnaires were promptly returned by 270 faculty members <sup>(3)</sup>. Limited resources precluded starting with a pilot survey or making follow-up mailings or calls. While in hind sight it is apparent that some of the questions could have been asked in a manner that would have produced more precise data, the results of the survey reveal a number of significant strengths and weaknesses of the current program and provide a concrete basis for recommending changes so that the faculty and staff will be better served by our health insurance investment.

In addition to the survey, the AAUP Executive Committee examined some questions that have been raised respecting the impact of the University's status as employer and as a sovereign entity and how this affects its financial responsibility, and that of its professional staff, toward employees who receive health care at U.K. facilities including situations in which mishaps occur during the course of care giving. The Committee also looked at the lack of coverage for long term part-time employees. This report addresses those issues as well.

## SURVEY RESULTS

### 1. Choice of Insurance Program

By far the health insurance program most often selected by U.K. faculty who responded is the UK HMO. While no effort was made to ascertain reasons for this choice, its favorable cost and generally more comprehensive coverage would appear to largely account for that decision. Also, as detailed in another section, below, a large portion of the users of U.K. health facilities stated that they are satisfied or very satisfied with the services received.

The percentage of respondents selecting the available health plans was:

| <u>Plan</u> | <u>Percentage (rounding up)</u> |
|-------------|---------------------------------|
| UK HMO      | 66                              |

|                                     |               |
|-------------------------------------|---------------|
| Option 2000 and UK-HP               | 21            |
| Humana Basic & Maximum              | 7             |
| HealthWise                          | 5             |
| Standard Blue Cross/Blue Shield (3) | (less than 1) |

## 2. Receipt of Information Describing the Specific Coverages, Exemptions and Claims Procedures

The majority of faculty report receiving a booklet describing coverages, exemptions and claims procedures since July 1, 1997. The breakdown for the two principal groups was an affirmative answer by 92 % of the HMO subscribers who provided a specific answer to this question and 57% of the Option 2000 subscribers who provided a specific answer to this question. This result is particularly revealing because, as explained below, it reflects the extent to which faculty are unaware of the limitations of the information they actually have received respecting their health benefits coverage.

In May of 1997 U.K. employees were informed that the University was becoming a self-insurer of health care benefits and were sent summary descriptions of the various health insurance plans offered by the University. The employees were then required to elect their health plan coverage from among the described plans, not all of which are available to faculty residing in the Greater Lexington area. The new University operated system went into effect at the beginning of June but detailed information describing the specific coverages, exemptions and claims procedures has not been distributed in any form to those who elected coverage under the Option 2000 plan. Although a summary booklet called the Certificate of Coverage, which in some detail describes the specific coverages and exemptions for the UK HMO plan, has been distributed, the details of that plan's appeals procedure apparently is separately set forth (see p.49 of the Certificate). That critical document was not available when requested at the U.K. Employee Benefits office and no response has yet been received to a written request, sent to the UK HMO office on December 12, 1997, asking for a copy of the procedure.

Comments and anecdotes appended to the AAUP questionnaire reveal that many faculty are unaware of the drastic reductions and even total denials of reimbursement imposed under the plans available to those residing in the Greater Lexington area when treatment is needed from sources outside the designated managed care provider group. Similarly, many faculty are not made aware of the possibility of shifting to regular Blue Cross/Blue Shield coverage for periods of extended absence from Great Lexington area nor are the rules clear as to the conditions under which that option can be elected. Lack of familiarity with this option is not surprising in light of the fact that recent summaries of plans distributed to the faculty make no reference to it.

## 3. Information Respecting Approved Pharmacies and Laboratories

The "managed care" strategy that now governs most health insurance plans rejects claims for prescriptions and laboratory expense reimbursement when provided by establishments that are not under contract with the insurer. Therefore, it is critical that patients and their health care providers have up-to-the-minute information respecting the approved laboratories and pharmacies. Because UK HMO laboratory work is handled in-house, the questionnaire would have been more artfully worded if it had separately asked about information pertaining to pharmacies and to laboratories. Thus, there is an ambiguity in the responses from UK HMO users respecting whether they have received a list of acceptable providers. (Some respondents gave the separate answers on their own initiative.) The percentage breakdown of answers by plan category was:

|                       | <u>Yes</u> | <u>No</u> |
|-----------------------|------------|-----------|
| UK HMO                | 88         | 12        |
| Option 2000 and UK-HP | 46         | 54        |

|                        |    |    |
|------------------------|----|----|
| Humana Basic & Maximum | 89 | 11 |
| HealthWise             | 43 | 57 |

Several respondents with Option 2000 and other plans reported having pharmacy or laboratory charges rejected because the facility was no longer in the managed care group even though the respondent had never been informed of the change. As one respondent writing about an Option 2000 rejection of a laboratory charge wrote: "Stated that lab ... was not approved lab. Odd that it was a U.K.M.C. lab and doctor referral."

#### 4. Faculty and Family Expecting to be Residing Outside the Commonwealth for Two or More Consecutive Weeks

With the exception of the traditional, unpublicized Blue Cross-Blue Shield plan, the health insurance options offered to U.K. employees residing in the Greater Lexington area do not cover non-emergency treatment received outside the respective geographically confined managed care areas. For UK HMO generally this means treatment is only available at the campus facilities. This raises a number of problems and questions. One is who decides and under what criteria and with what opportunities for review, whether a treatment situation constitutes an emergency. Secondly, it poses the problem of how to obtain insurance coverage for situations in which the faculty member or beneficiary will be away from the campus area for an extended period (e.g., on sabbatical leave, on a long vacation, summer field research, a dependent child in college out of state, a dependent child who resides out of state with a divorced ex-spouse). Overall, 58% of faculty members responding to the question reported that they anticipate residing outside of Kentucky for two or more consecutive weeks in the coming year and 33% reported they anticipate similar out of state residence for a family member covered by their U.K. health insurance.

A related problem is encountered when an insured is in need of a treatment modality requiring equipment or expertise not available at U.K. or within the managed care contract group. Several respondents described difficulties encountered in such situations and the considerable stress attached to efforts--some successful, some not--to obtain consent for the deviation so that they would not suffer a substantial financial penalty.

While it appears to be possible to have coverage changed to traditional Blue Cross/Blue Shield insurance in some of the above situations, or to obtain coverage consent from UK HMO, respondents reported receiving conflicting information from the U.K. Employee Benefits office respecting such possibilities and the accounts of different experiences reveal inconsistent handling of these situations under the UK HMO as well as Option 2000. Similar barriers to receiving information about such matters were reported by respondents who made inquiries to the UK HMO office. Response were variously characterized by some respondents as "uncooperative," "surely" and "seemingly incompetent". Reports of difficulties encountered also reveal that appropriate coverage is not available to fit the needs of many faculty and their dependents.

#### 5. Experience with Rejection of Claims

Because the questionnaire failed to ask respondents whether they had made any claims within the period under review (since July 1, 1997--a little less than a five month period), it is not possible to estimate the percentage of claimants who experienced a rejection. The total number of UK HMO respondents reporting having a claim rejected since July 1, 1997 was 16, the number for Option 2000 covered respondents was 9, for Humana covered respondents 9, and for HealthWise covered respondents 2.

A number of Option 2000 respondents reported that although they had reached their \$500 deductible during the first half of 1997, claims were rejected each month thereafter on the basis that the deductible had not been reached. Option 2000 appears to have corrected this error only when the insured has gone through the time consuming, stressful steps of protesting on each billing occasion. Such rejections continued throughout 1997. It appears that some, perhaps many, claimants have thrown in the towel and, thus, have not received the reimbursement or coverage for which they have paid.

Another complaint is that U.K. has been slow in submitting charges and Option 2000 has been very slow in processing them. As one respondent put it: "It takes so long to get a bill, I don't know if anything has been rejected." Another Option 2000 plan user reported having to wait up to a year before some claims were resolved. Respondents with Humana and with Option 2000 coverage also reported that when payments are made often it is only after the claimant is given "a hard time" and that it takes months to resolve appeals of routine items. Option 2000 respondents report that the same type of claim has been accepted when submitted on one occasion and rejected until appealed when submitted on another occasion. A respondent with UK HMO stated: "I have had several charges to my account that when challenged by me were immediately dropped. This doesn't generate much trust in the billing system." Another UK HMO respondent stated "some of my claims have been lost--some I have had to submit three times." A similar experience was reported by a respondent with Option 2000 coverage.

Inappropriate claims rejections has created considerable stress as well as great cost for some respondents. Below are examples of experiences reported by respondents:

\*\*\* Despite treating physician's request, UK HMO refused to approve MRI in a large patient scanner at a non U.K. Lexington facility even though patient's claustrophobia required stopping the procedure when using U.K. equipment.

\*\*\* UK HMO rejected coverage for emergency treatment received while in Florida.

\*\*\* UK HMO rejected coverage where, in an emergency, a friend took a respondent's child to a non U.K. local E.R.

\*\*\* A respondent with Option 2000 reported that some 20 providers were incorrectly told the coverage did not exist.

\*\*\* A respondent using Humana reported that after authorizing a new primary care physician because of complaints of difficulty getting an appointment with the one previously assigned, Humana rejected all claims submitted through the new physician.

\*\*\* A respondent with HealthWise coverage was refused reimbursement for testing of a dependent child where it was done in Louisville at the recommendation of several doctors in Lexington because no one in Lexington was qualified to do the required diagnosis. Reassurances that payment would be made were later given in 16 phone calls but reimbursement was not received.

\*\*\* Following hospitalization, a UK HMO covered respondent was refused an intensive level of rehabilitation treatment even though the patient's physician wrote a letter stating it was essential.

## 6. Difficulty Contacting U.K. Benefits Office by Telephone or Getting a Response from the Insurer

Generally, respondents reported that the staff at the U.K. Employee Benefits office is polite and tries to be helpful when reached. However, 50% of those who attempted to reach the office by telephone during the roughly five month period covered by the questionnaire stated that they had difficulty making that contact.

In addition, many of those making such an attempt reported difficulty contacting or receiving responses from the benefits insurer or provider. By plan coverage the portion of responders who made an attempt and reported such difficulties was 44% for those with UK HMO; 62% for those with Option 2000 coverage; 31% for those with Humana coverage; and 11% for those with HealthWise coverage.

## 7. Assessment of Quality and Availability of Care at U.K. Operated Medical Facilities

Faculty with Option 2000 coverage as well as those with UK HMO often receive care at U.K. facilities. Therefore, the questionnaire asked about quality and availability of care at those facilities. In retrospect, the questionnaire should have asked separately for assessment of quality of care as compared with availability of care. The overall assessment for those with recent use experience, by percentage, as reported by each category of insurance coverage was:

|  |                     |                     |                   |
|--|---------------------|---------------------|-------------------|
|  | <u>Very Pleased</u> | <u>Satisfactory</u> | <u>Displeased</u> |
|--|---------------------|---------------------|-------------------|

|                          |      |      |    |
|--------------------------|------|------|----|
| UK HMO                   | 47   | 38   | 15 |
| Option 2000 and UK-HP    | 38   | 58   | 4  |
| Humana Basic and Maximum | 37.5 | 37.5 | 25 |
| HealthWise               | 14   | 57   | 29 |
| Standard BlueC/BlueS     |      | 100  |    |

The above summary data does not include those respondents who offered mixed reviews expressing satisfaction with the quality or accessibility of treatment in some departments but not in others.

Some faculty reported great difficulty in getting timely appointments in some departments even though very ill. One respondent reported having to wait three weeks for approval of and an appointment for an MRI examination after it was ordered by a neurosurgeon for a herniated disk. Another reported a similar three week delay in getting an MRI "when I was in a great deal of pain". Others reported unevenness in the quality of care from specialty to specialty, and some reported being denied access to outside specialists even when recommended by their attending physician. Complaints were also received about having to wait for excessive periods in examination rooms, failure to return or long delays in returning phone calls and e-mail messages, and the 800 number ringing and ringing and ringing without being answered. A claimant needing emergency treatment for a broken foot while out of town stated that getting approval took 30 minutes.

Addressing another aspect of the facilities, one respondent commented "clinics dirty, bathrooms dirty \*\*\* surely clericals". Another reported "unpleasant service". Another characterized it as "unfriendly".

#### 8. Interest in Medigap Insurance Group

Medigap is an insurance policy that supplements Medicare health insurance. As is generally true with health insurance, group programs typically are less expensive for participants than are individual policies. Retired faculty, spouses of older faculty and parents of faculty are among those who might benefit if the University was to establish a coverage group for this type of insurance. The questionnaire did not inquire into the age of the respondents, a factor that can be expected to affect awareness of and interest in such a program. In total, 16% of the respondents answering the question recorded that they have a parent or a spouse who would be interested in a Medigap insurance program.

### **LIMITATIONS ON REMEDIES FOR MALPRACTICE OR NEGLIGENCE SUFFERED AT U.K. FACILITIES**

For a variety of reasons, U.K. employees and their families in large measure receive medical care for illness and injuries at U.K. operated facilities. Even the best run medical facilities can be hazardous to one's health because of such factors as the need for constant cleaning of floors, sanitizing of linens and equipment, the quantity and nature of stationary and transportable equipment, and the hazardous nature of many procedures used at such places. Generally, the law provides substantial remedies for those who fall victim to the misfortunes of negligence or malpractice when receiving medical care. However, most U.K. employees probably are unaware of the fact that both because of our status as university employees and the University's status as an arm of the Commonwealth, recovery for injuries or illness resulting from negligence or malpractice at U.K. medical facilities can be greatly restricted. There is no justification for providing less generous legal remedies for employees receiving medical care at the University's facilities than those to which they would be entitled if treated elsewhere.

#### Sovereign Immunity

The Kentucky Supreme Court has ruled that because the U.K. Medical Center is an instrumentality of the state government, it is entitled to assert sovereign immunity from tort liability. *Withers v. University of Kentucky*, 939 S.W. 340 (1997). State law provides a special procedure for claims resulting from negligence caused by state instrumentalities. Such claims must be brought quite promptly and recovery is limited to \$100,000 and cannot include damages for mental anguish or pain and suffering. (See. KRS § 44.070 *et seq.*) The University is expressly permitted to establish a "basic coverage compensation fund" administered by it with limited funding which can be used to satisfy malpractice claims against it. (KRS § 164.939) The effort of the plaintiff in the *Withers* case to try to avoid the sovereign immunity defense indicates that the recovery provided by the University under § 164.939 is quite limited.

The sovereign immunity defense does not prevent someone injured at U.K. medical facilities from suing the individuals responsible for the negligence or malpractice. A communication from the Medical Center's counsel indicates that medical malpractice coverage has been obtained to indemnify the professional medical staff from such suits. To that extent, someone who suffered negligence or malpractice caused injury or illness at these facilities should have the same remedies as someone caused the same suffering by a privately operated health care provider. However, the Medical Center counsel's communication does not indicate that the insurance coverage also includes negligence caused by the Center's non professional staff (e.g., those responsible for a wet floor, a collapsing table, a maladjusted pressure valve, a mislabeled vial, etc.). Normally, few but the highest paid professional staff have sufficient assets and income to pay for a significant recovery in the event of such mishaps, but this is overcome because the employer can be held liable for staff negligence. However, in the case of U.K. employed staff, the sovereign immunity defense and limited substitute forms of recovery largely remove that avenue for relief.

### Workers' Compensation

There is another potential limitation on the remedies available for U.K. employees who are the victims of negligence or malpractice at a University health care facility. That limitation arises in the situation in which the negligence or malpractice occurs during the course of treating an employee for a work related illness or injury. In order to fully appreciate this limitation of available remedies, it is necessary to review the basic rules of workers' compensation law. In Kentucky if an injury or illness is work related, an action for recovery is not available against the worker's employer *or fellow employees* unless the injury was willful and deliberate. Rather, the injured or ill worker's only available recovery is through a workers' compensation claim. That recovery is limited to the cost of medical care and a cash benefit for lost earning capacity. (For a very limited list of extreme injuries, such as loss of a leg, the cash benefit is provided even if lost earning capacity is not shown.) The cash benefit for loss of earning capacity only partially covers the loss--there are time limits for the period for which recovery is received, a cap is placed on recovery based on average earnings in the state, and another cap limits the maximum individual benefit to two-thirds of the employee's regular pre disability earnings. Under workers' compensation, no recovery is available for pain and suffering, and punitive damages cannot be recovered. In addition, the formulas for assessing the extent of partial disability under the current KY Act have been criticized as being grossly inadequate.

Because the biggest part of the workers' compensation protection extends to the medical care, it has been suggested that employees who have medical insurance may be better off electing out of workers' compensation coverage by notifying the employer in writing of that election, pursuant to KRS § 342.395, especially if the nature of the job confronts the employee with a reasonable prospect of serious injury from work related negligence or malpractice. However, in the case of University employees the benefit of electing that option may prove largely illusory due to the University's ability to invoke the sovereign immunity defense respecting its liability and the individual's need to look to the previously described substitute remedies provided by statute. In addition, electing out of workers' compensation coverage subjects the injured employee to what are called the common law defenses. There is little case law guidance as to how these traditional defenses will be applied by the Kentucky courts under modern tort law notions. Nevertheless, there is cause for employee concern because in the early part of the century those defenses proved a substantial barrier to most employee injury suits inasmuch as they required dismissal if: a) the injury was caused by a fellow employee, b) the injury resulted from a risk inherent in the work situation (deemed an assumed risk), or c) the conduct of the injured worker contributed in any way to the suffered injury or illness.

The very restricted financial protection provided employees under workers compensation law compounds the problems for a U.K. employee who suffers a job related illness or injury because the University, pursuant to KRS § 342.020, has

designated its medical treatment facilities as the managed care provider for treating such ailments. Because the medical facilities' staff, professional as well as non professional, are fellow employees of the University, it can be argued that the Workers' Compensation statute bars any negligence or malpractice suit against such employees. Moreover, Paragraph (7) of KRS § 342.020 in pertinent part states: "No action shall be brought against any employer subject to this chapter [the Workers' Compensation Act] by any person to recover damages for malpractice or improper treatment received by any employee from any physician, hospital, or attendant thereof." While that language does not of itself bar a negligence or malpractice suit against a University physician or other employee arising out of treatment for a work related injury, it arguably reinforces a line of authority, having some support in Kentucky, extending the Workers' Compensation bar to actions against fellow employees who provided medical treatment of work related injuries (4).

Thus, even those employees who have opted for health insurance plans other than UK HMO can find themselves subject to the reduced protection from negligence or malpractice imposed by the doctrine of sovereign immunity as a result of being treated in a U.K. facility. And, in addition, due to the exclusivity doctrine of workers' compensation law, all U.K. employees who suffer work related injuries or illness can be subject to the further reduction of their available remedies for malpractice or negligence if their work related ailments are treated at U.K. as a result of the University designating that treatment facility.

In work related injury situations there are two possible avenues for preserving an employee's normal legal remedies if a mishap occurs in the course of receiving medical treatment. First, if beforehand an employee elects in writing to not be covered by the Workers' Compensation Act, the University is not in a position to designate the treatment facility. The previously noted disadvantage of making that election, however, would greatly reduce the potential benefits of taking that approach and this would be especially true if the employee's health insurance plan necessitates treatment at a U.K. facility (UK HMO). Second, if the injury or illness requires initial treatment of an emergency nature, the Workers' Compensation Act can be interpreted to allow the employee to elect to receive that emergency treatment outside of U.K.'s managed health care system and to thereafter remain in the care of that treating physician. However, the statutory language could be interpreted differently and does not clearly prevent the employer from insisting that the follow-up care be at a facility designated by its managed health care provider--*i.e.*, a U.K. facility.

## LONG TERM PART TIME STAFF

Some departments have programs that rely heavily on part-time instructors or researchers, and aides, many of whom have been employed by the University for an extended number of years. Despite their roles as an integral, vital part of the institution's missions, they have been excluded from the basic benefits provided other University employees.

## RECOMMENDATIONS

**1. Health insurance coverage should be made available that is more suitably tailored to the needs of faculty, retirees and their dependents so that they can obtain treatment at distant provider facilities.** University faculty and their families are more mobile than most people. With frequency they are away from Central Kentucky for extended periods to conduct research, attend conferences, and visit at other campuses, as well as to stretch their horizons through travel and exploration. Also, many U.K. faculty must cope with the complexities of modern family responsibilities with dependent children sometimes living with former spouses at distant places. In addition, dependent children of U.K. faculty are often attend college or engage in summer activities outside the Commonwealth. Under the circumstances, the present package of health insurance plans, which are designed to principally provide services almost exclusively within the Central Kentucky geographic area, do not meet the health insurance needs of a significant portion of the faculty and their families.

- 2. The U.K. Benefits Office should take immediate steps to ensure that employees and retirees are provided with complete, accurate, consistent, up-to-date information regarding health insurance benefits options, coverages, exemptions, and claims procedures for all plans.**
- 3. Health insurance benefits claims should be administered with an understanding that they are being paid for by the employees and retirees and that reimbursement is an entitlement not to be withheld without clear justification, full explanation and in accordance with consistently applied, well publicized rules, and notification of the precise steps to be taken to appeal a denial. The ultimate authority for resolving any disputes should be in the hands of persons having no financial interest in the profits or losses of the care providers.**
- 4. The U.K. Benefits office and the care provider claims information offices should be staffed with an adequate number of fully trained people so that inquiries will receive a prompt, accurate response and follow-up.**
- 5. U.K. should obtain substantial liability insurance coverage for all staff and facilities to provide normal legal remedies for injuries or illness suffered in the course of receiving medical treatment and adopt a policy of waiving sovereign immunity and workers' compensation defenses to such claims.**
- 6. Long term, part-time staff should receive the protection of U.K.'s health insurance benefits.**
- 7. U.K. should explore the possibility of creating a group insurance plan for Medigap coverage that is available to faculty, retired faculty and their immediate family including parents.**

Footnotes:

1. Although this payment is not a direct deduction from the employee's pay check, in fact it is part of the cost of compensation that must be taken into account in determining faculty and staff salaries. Hence, it is a substitute for pay and, therefore, as with all "employee benefits" including workers' compensation coverage, life insurance, and the like, ultimately the cost is paid by the employees.
2. Reflecting the extent of faculty interest in this issue, an additional 29 responses were received after the data was counted. From all appearances, the added data would not significantly alter the reported results.
3. This plan is not listed in the plan summaries distributed to the faculty. We are informed that normally this plan is available only to faculty who will be out of state for an extended period. The lack of consistent, well distributed information respecting this option is covered later in this report.
4. A minority of states interpret their workers' compensation laws as allowing negligence or malpractice suits to be brought against the plaintiff's employer or fellow employees where the injury in question resulted from the employer's activities in a capacity other than as the injured person's employer. Allowing such suits is known as the "dual capacity" doctrine. A Kentucky appellate court has expressly held that the dual capacity doctrine is not recognized under the Commonwealth's Workers' Compensation Act. *Borman v. Interlake, Inc.*, 623 S.W.2d 912 (Ky. App. 1981). There is no reported Kentucky case examining whether the exclusivity of the workers' compensation remedy applies to negligence or malpractice caused by employees of the same employer when a worker's job related ailment is treated at the employer's medical facility. However, the leading treatise authority supports the proposition that such suit should be barred by the workers' compensation act. Larson, *Workers' Compensation Law* § 72.61(b). Recent court decisions in other jurisdiction indicate that judges are closely divided over this issue. *E.g.*, *Snyder v. Pocono Medical Center*, 690 A.2d 1152 (Pa. 1997). One recent decision can even be read to bar an employee from suing for malpractice caused when the employee receives treatment at the employer's facility for a non work related ailment. *Scott v. Wolf Creek Nuclear Operating Corp.*, 928 P.2d 109 (Kan. App. 1996). On the other hand, another recent decision allowed a malpractice suit where the physician chosen by the employee selected the employer hospital as the site at which surgery would be performed on the employee for a work related injury. The court indicated, however, that had the employer designated the treatment facility the suit would have been barred. *Dalton v. Community General Hospital*, 655 N.E.2d 462 (Ill. App. 1995).



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## Events of the Summer of 1999

As most faculty know, much of the summer of 1999 was taken up with the controversy over the Wethington contract extension. What you may not be aware of, however, is AAUP's involvement in the situation. Starting in mid-May, the AAUP Board held emergency meetings with a number of faculty leaders, including the faculty trustees and Roy Moore, the Senate Council President. AAUP actions taken over the summer included submission of a complaint to Chair Ned Breathitt, meetings with UK Board members, sending opinion letters expressing our disapproval of the Board's action and our position that the act violated both the Open Meetings Laws and the UK regulations to the news media.

May 4, 1999: The Board of Trustees (BoT), after a legally-suspect closed meeting, voted to extend the term of President Charles Wethington by an additional two years which extended past the retirement age of 65 mandated in the Governing Regulations. His original term should have ended on June 30, 2001; the new term was scheduled to end on June 30, 2003.

May 5-6, 1999: Editorials that were critical of the process appeared in the Lexington Herald- Leader and the Louisville Courier-Journal.

May 10, 1999: The Senate Council met with 20-30 senior faculty and AAUP representatives in attendance to discuss the great concern of the faculty about this event. Two resolutions were discussed and a decision was reached to call a special Senate meeting open to all faculty at which both resolutions would be presented for a vote with no recommendation on either from the Senate Council.

May 14, 1999: The AAUP Executive Committee held an emergency meeting with Dan Reedy, faculty trustee, and Roy Moore, UK Senate Council President. Several conclusions resulted from the discussion: 1) that the closed meeting of the BoT violated the spirit, if not the letter, of the Kentucky Open Meetings statute; 2) that the lack of notice of an action item in the written agenda on the extension of the Presidency violated the customary procedures of the BoT; 3) the failure to cite at the general meeting the specific statute that applied to the need for a closed meeting violated the statute on open meetings; and 4) usual procedures for extending retirement age of administrators were not followed. The normal procedure that has been to have both a prior listing of the item in the agenda and announcement of a closed meeting. After a discussion of the statutes governing open meetings, the group agreed that AAUP chapter President Michael Kennedy acting for AAUP should submit a complaint to Chair Ned Breathitt as the first step in the appeals process. Following the meeting, AAUP members Alvin Goldman and Jesse Weil drafted a complaint to Gov. Ned Breathitt.

May 15, 1999: Herald-Leader published an editorial about the Board's lack of concern for faculty opinion.

May 17, 1999: UK Senate special meeting. In an open meeting with a large number of faculty attending, the two resolutions were vigorously debated, after which the Senate voted in almost unanimous favor of both resolutions. Both condemned the procedure which the BoT followed in deciding to extend President Wethington's term of office.

May 17, 1999: The AAUP complaint was delivered to Gov. Breathitt by Michael Kennedy.

May 18, 1999: The Lexington Herald-Leader sent a complaint to Chairman Ned Breathitt alleging violations

of the Open Meetings Act.

May 20, 1999: The AAUP received a reply from Gov. Breathitt disclaiming any wrongdoing in the Board procedure.

May 21, 1999: Pamela Luecke, editor of the Lexington Herald-Leader, received a response from Gov. Breathitt disclaiming any illegalities in the closed meeting procedure.

May 24, 1999: At a special meeting the Senate Council voted to request a ruling from the Attorney General as to whether the Board violated the Kentucky Open Meetings statutes. As a first step, the Senate Council endorsed their letter of complaint to Gov. Breathitt, which was delivered to Gov. Breathitt on the same day.

May 24, 1999: Kennedy made an open records request for the stenographic report for the closed BoT meeting on May 4, copies of the new and previous contracts of Charles Wethington, a stenographic copy of the open part of the BoT meeting, and notes of any sub-quorum meetings of the BoT following the May 4 meeting.

May 25, 1999: The AAUP Executive Committee met with Bill Fortune and Roy Moore, members of the Senate Council, and Faculty Trustee Loys Mather to discuss strategy. It was decided that both groups would submit a request for a ruling to the Attorney General.

May 28, 1999: Kennedy requested copies from the Open Records office of all of Wethington's employment contracts as President, as well as the record of his receiving tenure at the University of Kentucky.

May 30, 1999: Kennedy sent a recruitment letter to all Arts & Science faculty, asking them to join AAUP.

June 1, 1999: The AAUP Executive committee received a copy of the June 1 reply to the Senate Council from Gov. Breathitt denying any wrongdoing.

June 3, 1999: An AAUP editorial-page opinion letter opposing the Board decision appeared in the Herald-Leader. Kennedy received copies of Wethington's contracts.

June 3, 1999: BoT member Steve Reed met with AAUP members Michael Kennedy and Jesse Weil and Senate Council Chair Roy Moore to hear first-hand some faculty opinions on the extension of President Wethington's contract and the procedure by which it occurred.

June 8, 1999: At the regular meeting of the Board of Trustees, the Board voted 10-10 on a motion to rescind its prior decision to extend Wethington's term as President. The prior vote stood.

June 11, 1999: Kentucky's two largest newspapers, the Lexington Herald-Leader and the Louisville Courier-Journal, together with the Kentucky Press Association filed a law suit against Gov. Breathitt and the Board of Trustees for violation of the Open Meetings and other earlier statutes on UK BoT meetings.

June 29, 1999: At an emergency meeting, the BoT rescinded its previous extension. It was replaced by an agreement that Wethington would step down as President in 2001, but would continue employment as a fund-raiser.

September 16, 1999: BoT member Steve Reed met with Michael Kennedy, Jesse Weil, and Roy Moore to report on the status of a campaign to elect a completely new slate of BoT officers.

September 21, 1999: The Board of Trustees elected new officers by a series of 11-9 votes which replaced Gov. Breathitt and other previous officers. Billy Joe Miles was elected as President, Steve Reed as Vice President, and Dan Reedy, Faculty Trustee, as Secretary. This took the control of the Board of Trustees out

of the hands of the tight-knit group which had monopolized all the committee positions in the past, allowing them to dominate Board policy and actions.

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As approved by the UK Senate  
(Provided by UK-AAUP -- 2 Feb 2000)

## TENURED FACULTY REVIEW AND DEVELOPMENT POLICY

### Preamble

The increased concern for defining and increasing the contributions of higher education to society has created great concern for assessment and accountability. This, in turn, has fostered rethinking of some of higher education's most time-honored practices. Among these is the granting of tenure. Across the United States, universities are examining the processes through which tenure is granted and the ways in which faculty are evaluated after the granting of tenure. Faculty roles and reward systems are being revised to reflect greater awareness of multiple forms of scholarship and the need for greater engagement with society. The University Senate of the University of Kentucky only last year approved just such a massive reform in its promotion and tenure system.

Logically, now the University Senate is considering the issue of how best to review and facilitate continued contributions from its tenured faculty. Four years ago a pilot "post tenure review" policy was put into place in the University's largest college, the College of Arts and Sciences (<http://www.uky.edu/ArtsSciences/Facaffairs/postten.html>). In 1998, the Legislature called for the development of such policies at all public universities and asked the Kentucky Council on Postsecondary Education to report on institutional progress in developing such policies in the Fall of 1999. In the Fall of 1998, the University Senate Council received a grant from the American Association for Higher Education (AAHE) to explore development of a University-wide post tenure review policy (i.e., applying to the Lexington Campus including the Lexington Community College and the Medical Campus).

The University Senate Council appointed a Steering Committee in late Fall 1998 to oversee the development of a University-wide tenured faculty review and development policy. In the Spring of 1999, the Steering Committee reviewed policies from around the country and regularly reported progress to the University Senate and Administration. In March 1999, the Committee sponsored a campus conference on the issue involving experts from around the country, all segments of the University community, and faculty leaders from campuses around the State (see Conference and other Committee resource material at <http://www.uky.edu/USC/>). The components of the policy were reviewed at a June 1999 meeting in Washington, D.C. of institutions funded by AAHE post tenure review grants. The Steering Committee submitted this policy to the Senate Council with suggestions for necessary funding and an implementation plan. The Senate Council organized additional extensive campus discussion of the policy in Fall 1999. The Council amended the Steering Committee's policy in light of those discussions (i.e., removing the mandatory six year formative review for all faculty) and recommended the policy as amended to the University Senate. The Senate further amended and approved the attached policy in December 1999. Following administrative review, the implementation date is Fall 2000.

### Philosophical Foundations

One of the Committee's first tasks was to articulate the basic assumptions or guiding principles for the development of the policy, based on its reading of national debates on 21st Century approaches to faculty roles and rewards policies, faculty development policies, and post tenure review policies. Many of the guiding principles adopted are captured in the 1997 report on post tenure review provided by the American

Association of University Professor (AAUP) (Academe, September/October, 1997). We felt any policy must:

- Ensure protection of academic freedom
- Be committed to peer review
- Take into account review procedures already in place
- Be campus/faculty initiated and adapted to the institutional mission
- Be clearly differentiated from dismissal for cause procedures
- Be developmental in focus and supported by adequate institutional resources Be flexible, allowing disciplines, colleges, and campuses to achieve a “fit”
- Ensure confidentiality and adequate opportunity for faculty feedback/appeal
- Be built on our trial A&S policy already in place
- Contain procedures requiring periodic review and change of the policy

The Committee approached the development of a tenured faculty review and development policy as a means of strengthening and preserving academic tenure. We view tenure as critical to sustaining institutional excellence. It requires years of probation during which faculty performance is stringently assessed. It allows scholars freedom to pursue independent lines of inquiry. It encourages a spirit of institutional service and responsibility. Tenure does not insulate faculty from regular evaluation. In fact, few professions are practiced more publicly than ours are before students in teaching, peers in publishing, and colleagues/citizens in service and outreach. In addition, tenured faculty at the University of Kentucky are reviewed for merit and salary purposes at least every two years.

This policy helps faculty communicate and coordinate their work with one another and the institution’s goals. For the small percentage of faculty in serious need of professional assistance this policy provides a means of identifying the problem and offering solutions that increase productivity. In extreme cases, the policy may fail. This could result in the institution of separate and independent dismissal for cause procedures already in place in this and most other universities. However, the policy primarily (a) provides opportunity for units to better support tenured faculty (b) recognizes changing circumstances and interests of faculty and the institution across time, adjusting roles and rewards accordingly, and (c) identifies and addresses problems in performance through peer review and collaborative planning.

## The Policy

Specifically, the policy contains three features that build on the current system for conducting regular performance or “merit” reviews of tenured faculty for purposes of salary increases. It requires that:

1. Each academic unit must develop a clear set of expectations for satisfactory performance for tenured faculty linked to the distribution of effort agreement required of all faculty. In addition, a performance review system must be in place in which the lowest performance rating is “unsatisfactory.” The first performance review using this new rating should be for the period starting after the above expectations are developed.
2. A consequential review process must be instituted for any faculty member receiving two unsatisfactory performance reviews (over a four year period) in a substantial area of work. This review is summative in nature and demands plans to improve performance within a specified period.

These items follow from the pilot consequential review process that has been in effect in the College of Arts and Sciences at the University of Kentucky for the last four years.

The policy also contains a voluntary third component suggesting the following:

3. A process for developmental review of tenured faculty may be initiated within individual colleges. This process would include setting of individual faculty goals in collaboration with unit chairs, deans, and other

senior faculty and be incorporated into the regular performance review process.

The Committee originally focused on the consequential review as the defining feature of post-tenure review. However, our review of national trends and conversations with colleagues on campuses with post-tenure review, as well as those doing research in the area, convinced the Committee that if we are to reap maximum benefit from such a policy it must have a proactive, developmental component. We heard again and again of the benefits that come from all tenured faculty sharing accomplishments and plans with unit administrators and colleagues: increased collegiality, better appreciation of differences, greater alignment of individual faculty goals with department, college, and university goals, more effective realignment of faculty roles and rewards with changing individual interests as faculty progress along natural career trajectories, better understanding of the reward system. Hence, while voluntary, the third component of the policy is an important one.

In sum, we offer a three-part policy with each part improving the outcomes of the other two. A detailed description follows.

#### A. Developing Expectations for Satisfactory Performance

Each academic unit will develop a narrative statement of its expectations for adequate or satisfactory faculty performance by tenured faculty. Such statements shall include expectations for the areas of performance as they are defined by percentage effort allocated to each area on the distribution of effort agreement (DOE) generated annually for each faculty member. They shall be differentiated by rank, level of seniority if relevant, and they shall be as specific as possible without unduly restricting the recognition of the diverse contributions that individual faculty members may make. This statement, once agreed upon by the faculty of the academic unit, will be reviewed by the appropriate college advisory committee and the dean to assure that the faculty performance expectations are in keeping with the established mission of the college and that they do not fall below college expectations for faculty performance. The approved statement of expectations will be the basis on which all reviews of performance are conducted. Building on the statements of expectations each college will develop a merit-rating system in which the lowest level of performance is identified as “unsatisfactory.” The definition of performance expectations for tenured faculty should be consistent with and naturally follow from the departmental document outlining expectations for performance for untenured faculty mandated in the promotion and tenure revised regulations currently under administrative review.

The development of clear expectations for faculty performance will be useful only if these are clearly communicated within the current process of faculty performance (merit) reviews and the creation of annual distribution of effort agreements. The DOE defines the focus of faculty work and the performance review evaluates its quality. To make clear what is already University policy, academic unit heads are required to meet with each faculty member to develop the faculty member’s DOE for the coming year and are obliged to do the same in the communication of the results of performance reviews.

We strongly recommend, in addition, that after completion of each performance review, these two meetings (the communication of review results and the development of DOE agreements) occur as a single meeting at which the past and future activities of the faculty member are discussed within the context set by the six year developmental review. Further, this policy requires such a meeting when the faculty member receives unsatisfactory ratings or ratings at the level just above unsatisfactory.

#### B. Voluntary Periodic Developmental Review of Tenured Faculty

With the intent of facilitating continued professional development, tenured faculty members should engage in periodic review of their professional activities with administrators and colleagues. These reviews encourage development of links between individual goals and the goals of the unit, institution, and other colleagues. They also can produce strategies to secure the resources necessary to accomplish goals. For these reasons

each academic unit may create a process for developmental review of tenured faculty that includes setting individual faculty goals in collaboration with unit chairs, deans, and senior faculty colleagues. These reviews should be incorporated into the current performance review process for tenured faculty to minimize administrative burden.

These periodic faculty reviews: 1) recognize long-term meritorious performance; 2) improves quality of faculty efforts in teaching, research, and service; 3) increase opportunities for professional development; and 4) uncover impediments to faculty productivity. These goals and plans can inform subsequent merit reviews and should be reflected in the faculty member's Distribution of Effort agreement during subsequent periods. The goals and plans should be linked to the mission, goals, and plans of the faculty member's academic unit and of the University of Kentucky.

### C. The Consequential Review

The Consequential Review will be conducted with faculty for whom the performance ("merit") reviews indicate persistent inadequate performance. It is thus intended for a specific sub-group of the faculty who receive unsatisfactory ratings in an important area of effort in two successive performance ("merit") reviews. These are conducted annually or biannually as dictated by the rules of specific academic units. Evaluation can be a positive force when used to encourage members of the faculty community to continue their professional growth and to remain professionally active. This policy emphasizes continuing engagement with all forms of scholarship and to provide incentives and resources to assist faculty members in remaining engaged.

A "significant area of work" shall be defined as more than 20% of the distribution of effort in the areas of teaching and research, and more than 10% in the area of service.

Selection for consequential review. Each academic college and school will be expected to adopt a merit-rating scheme in which the lowest level of performance is identified as "unsatisfactory." A faculty member will be selected for a full consequential review if he or she receives an unsatisfactory rating in a significant area of work (significant area of work previously defined) and also receives an unsatisfactory rating in that same area of work in the merit evaluation conducted two years hence, assuming that this second rating also applies to a significant portion of the distribution of effort.

An assignment with a DOE percentage less than 20% in teaching and research or 10% in the area of service normally will be exempted from consideration for review. Upon recommendation of the department chair and approval of the dean, a faculty member subject to evaluation under this plan also may be exempted if there are extenuating circumstances (such as health problems). A decision by the chair not to recommend such exclusion may be appealed by the faculty member to the college advisory council. The decision of the advisory council would be advisory to the dean and the dean will be the final arbiter. The faculty member shall have the right to appeal his or her merit rating as specified in University Governing and Administrative Regulations, and the selection of a faculty person for consequential review will not be undertaken until the final disposition of a merit appeal has been determined.

The academic unit head shall inform the faculty member of being selected for review and of the nature and procedures of the review. One option that would avoid a review would be for the faculty member, with the approval of the chair, to make a substantial change in his or her DOE so as to address the deficiency in performance. This alternative follows from the notion of "multiple profiles" of a successful faculty member -- that is, that there need not be a "one-size-fits-all" DOE and that faculty members can contribute in a variety of ways to the multiple missions of the college. A change in the DOE would imply the assignment of new duties to the faculty member, and it would need to be approved by the department chair and the dean.

The review dossier. For faculty selected for consequential review, the department chair shall prepare a

review dossier in consultation with the faculty member. The faculty member has the right and obligation to provide for the review dossier all the documents, materials, and statements he or she believes to be relevant and necessary for the review, and all materials submitted shall be included in the dossier. Ordinarily, such a dossier would include at least the following: an up-to-date vita, a teaching portfolio, and a statement on current research or creative work. The chair shall add to the dossier any further materials (prior evaluations, other documents, etc.) he or she deems relevant, in every case providing the faculty member with a copy of each item added. The faculty member shall have the right to add any material, including statements and additional documents, at any time during the review process.

The review process. The Consequential Review will be conducted by either

? the department chair

? a three member ad hoc faculty committee, not including the chair but including (a) one member of the college council selected by the dean and (b) one faculty member chosen by the College Council who does not serve on the Council, and (c) one member chosen by the faculty member

? a subcommittee of the college council appointed by the council.

The faculty member will select the reviewing agent from these three options. The reviewing agent will create a development plan designed to remedy the deficiencies indicated in the performance reviews. Ideally, the plan should grow out of an iterative collaboration among the faculty member, department chair, reviewing agent (if not the chair), and dean.

It is the faculty member's obligation to assist in the development of a meaningful and effective plan and to make a good faith effort to implement the plan once it is adopted. In the event that the faculty member objects to the terms of the plan, he or she may request an independent review of the plan by the appropriate college advisory committee. The committee's recommendation to the dean is advisory, and the dean will be the final arbiter at the college level. The faculty member also will have recourse to appeal to the appropriate chancellor. Once the appeal has been resolved, the plan will be implemented.

The plan must:

- 1) Identify the specific deficiencies to be addressed
- 2) Define specific goals or outcomes that are needed to remedy the deficiencies
- 3) Outline the activities that are to be undertaken to achieve the needed outcomes
- 4) Set timelines for accomplishing the activities and achieving the outcomes
- 5) Indicate the criteria for annual progress reviews
- 6) Identify the source of any funding which may be required to implement the development plan .

Monitoring and follow-up. The faculty member and his or her department chair will meet annually to review the faculty member's progress towards remedying the deficiencies. A progress report will be forwarded to the Dean.

Further evaluation of the faculty member within the regular faculty performance evaluation processes of the University may draw upon the faculty member's progress in achieving the goals set out in this plan.

Completion of plan. When the objectives of the plan have been fully met, or in any case no later than three years after the start of the development plan, a final report will be made to the faculty member and the Dean. The original "agent" that created the developmental plan in the first place would submit the report and advise the dean as to whether the plan has been satisfactorily completed by the faculty.

#### D. Dismissal for Cause

The successful completion of the development plan is the positive outcome to which all faculty and

administrators involved in this process must be committed. If the disengagement of some scholars derives in part from an organizational failure, the re-engaging of their talents and energies reflects a success for the entire University community. However, in those rare cases where serious deficiencies continue to exist after the consequential review plans are completed the University may decide to initiate separate and independent dismissal for cause procedures currently in place. The multiple criteria for instituting the dismissal for cause process are independent from and extend beyond the scope of this review policy.

#### E. Faculty Professional Development Fund

The focus of the fund. The Faculty Professional Development Fund (FPDF) is established as a system to enhance faculty performance. It is designed to promote continuing professional growth and to encourage faculty to sustain patterns of strong performance and heightened motivation as academic unit priorities and personal direction change over careers.

The FPDF is a source of funding for supporting (1) the outcomes of any voluntary developmental review process created within colleges coming out of regular merit/performance reviews and (2) the faculty development plans created out of the consequential reviews designed to improve unsatisfactory performance in major areas of faculty work. Examples of activities that might be funded as a result of goals established in developmental reviews or from plans generated by the consequential reviews to improve unsatisfactory performance include support for:

- a. International study, attendance at conferences, seminars, etc.
- b. Faculty returning to duties from administrative roles
- c. Redirection of the faculty member's career focus
- d. Efforts to secure extramural funding
- e. Enhancement of research skills
- f. Curriculum innovation
- g. Improvement in teaching and use of new instructional technologies

The allocation process. Each Chancellor would be charged with developing a process for allocating development funds based on, merit/performance, and consequential reviews. Funding priority should be given to activities tied to plans generated by consequential reviews with other allocations made on a competitive basis. Given the special circumstances surrounding the consequential review, funding seems especially important. Not all plans will require funding or funding beyond the department level (satisfactory performance is the norm with current support levels). However, where additional support is reasonable, to not provide support would make it difficult for the University to hold the faculty member accountable for improvement.

Funding levels. The University currently devotes a part of its resources to various programs aimed at faculty development (e.g., the Teaching and Learning Center on the Lexington Campus). We anticipate the various types of development plans generated by this policy would fully access current funds. However, the Committee reviewed current and proposed allocations for faculty development directly tied to tenured faculty review processes at several other institutions (e.g., the University of Georgia and Massachusetts systems, the University of Hawaii, and some private institutions). Estimates are difficult given the inability to predict the number of consequential reviews that will be done four years after the implementation of the system and thereafter, the number of applications that will be made based on exemplary developmental reviews, and the disciplines from which these will come.

The Committee recommends that the University designate \$50,000 for faculty development activities specifically linked to this senior faculty review policy during the fourth year following the effective date of implementation (when the first consequential reviews may be conducted). That amount should be added in each successive biennium so that a total of \$150,000 in recurring dollars is available on a recurring basis.

Obviously, funding should be modified based on use. However, this size fund, combined with current support for faculty development generally, should provide adequate funding to support consequential review plans and requests generated from any voluntarily created developmental review processes.

The size of support for individual faculty will depend on discipline and the nature of the plans developed. Awards are recommended generally ranging in amount to \$6,000 annually with definite time limits for achieving goals and strong accountability measures. Awards may be higher depending on the nature of the plan and the discipline.

Eligibility. Any tenured University faculty member participating in the senior faculty development and review process is eligible for FPDF funds. Each application must include a professional development plan consistent with the mission, goals and plans of the faculty member's academic unit and college as well as the University of Kentucky's goals and strategic plans. The application must include letters of support from the head of the faculty member's academic unit, dean of their college, and the peer review body involved in their review. The plan must be based on either goals documented in a developmental review linked to the merit review process or activities identified in the consequential review for improving areas of unsatisfactory performance.

#### F. Policy Review Procedures

At the conclusion of the third year following implementation and biannually thereafter, the unit heads will submit to the Office for Institutional Research a brief summary including but not limited to the following:

1. Number of faculty receiving unsatisfactory ratings in areas of effort in which the faculty member's distribution of effort is more than 10 percent.
2. Number of faculty changing assignment as a result of the policy (including retirement, change in distribution of effort).
3. Number of faculty applying for and receiving professional development funds.
4. Number of faculty selected for Consequential Review based on unsatisfactory performance review.
5. Number of faculty successfully completing development plans based on Consequential Review.
6. A brief narrative account of other benefits and problems created by the policy.

During the seventh year after the effective implementation date of this policy, the University Office for Institutional Research will survey a scientifically constructed sample of faculty and unit heads to determine perceptions of the strengths and weaknesses of the policy. The Senate Council will appoint a Policy Review Committee to use the analysis of survey results and the unit head reports provided by the Office for Institutional Research to review the policy and make recommendations to the Senate through the Senate council by the end of the sixth year of the policy's operation. The policy must be reapproved by both the Senate and Board of Trustees after seven years (i.e. a sunset clause).

#### G. Implementation

This policy is submitted for administrative review with the formal condition that any substantive change in the policy nullifies Senate approval and requires reconsideration by the full Senate. Effective Implementation is Fall 2000.

#### Infrastructure Development to Support the Plan

If one clear message was delivered by all consulted, it was that the success of any policy is dependent upon the development of a sound infrastructure to support its implementation from the outset.

Faculty Professional Development Fund. First and most importantly, the Administration must budget the requested amount for the Faculty Professional Development Fund. Without this fund the policy's usefulness

is limited. Though monetary rewards and support are not the only methods for fostering improvement, without an adequate development fund the policy will be much less effective in promoting faculty performance. Moreover, if the University does not budget to support specifically the improvement plans created under the consequential review, it will be less able to hold faculty accountable for performance improvement.

Personnel development. One clear and consistent lesson was offered by other institutions and our national experts: we cannot underestimate the importance of providing educational support for faculty (who will serve on peer review committees as well as being reviewed), department chairs, and deans. These groups, most directly, must have the knowledge and communication skills to make this policy work for the common good. During the administrative review of the policy the Council and University Administration should ensure that the appropriate offices on each campus [Lexington (including Lexington Community College) and Medical Center] are designing seminars that can be implemented as soon as the policy is in place. Indiana University-Purdue University-Indianapolis has focused its AAHE grant activities on the development of materials for personnel involved in tenured faculty reviews. Texas A&M University also has focused a part of its efforts on this work.

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**UK AAUP home**

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## Background - Historical

Two post-tenure review (PTR) proposals are headed towards UK and it's important not to confuse them. The first is a bill prefiled in the Kentucky legislature, by Senator Tim Philpot. It is what is unfortunately on the verge of becoming the "standard" for those states that have begun meddling with academic freedom by legislative fiat: all faculty are reviewed every five years, with the emphasis on sacking those who don't measure up.

The second PTR proposal is from the UK Senate Council probably suggesting that UK adopt campus-wide the system now in effect in the College of A&S. Only those A&S faculty judged by the merit evaluations to be doing a truly miserable job (D+ over a 4 year period on a significant part of their work) are selected for evaluation; the emphasis of the A&S system is on faculty re-engagement and development; and there are lots of safeguards and appeals. The A&S PTR system itself was supported by the UK AAUP Chapter Executive Committee in 1994 and voted in on a trial basis by the A&S faculty by a large margin.

Pretty clearly, it is the bill in the legislature that we should be worried about. Please examine [Senator Philpot's Proposed PTR Legislation](#) and [Senator Philpot's Press Release](#).

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**UK AAUP home**

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## A Bill on Post-tenure Review Pre-filed by Senator Tim Philpot

This bill is for consideration in either the special education legislative session or the next general session. The bill number is 98 RS BR 135. What appears below is an extract of the language of the bill. You may obtain a copy of the complete bill from Senator Philpot's office. Contact Marilyn Burgess at 606-564-8100x777 and ask that it be sent or faxed.

The "ACT relating to higher education employees" actually proposes to modify three sections of the Kentucky Revised Statutes (KRS): 164.360, 164.220, and 164.830. Since all three statutes are revised in essentially the same way, the following are the relevant excerpts of the proposed changes to the law. Also on the UK AAUP web page you may find a press release from Senator Philpot discussing the proposed legislation. The text which appears below contains explanation and editorializing in square brackets "[ ]".

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### KENTUCKY LEGISLATIVE RESEARCH COMMISSION 1996-97 INTERIM

98 RS BR 135 - PREFILED

March 17, 1997

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Senator Philpot prefiled the following bill which was ordered to be printed.

Paid for from state funds

Each board shall adopt rules and procedures for a periodic post-tenure evaluation process for all faculty tenured at the institution. The evaluation process shall include but not be limited to evaluation of performance in teaching, research, and service [pray, what else?]. The process shall provide that:

1. Each faculty member tenured at the institution shall participate in a comprehensive post-tenure evaluation process at least every five (5) years. Each faculty member tenured at the institution as of the effective date of this Act shall participate in his or her first comprehensive post-tenure evaluation process by January 1, 2003;
2. Below-standard evaluations of a faculty member may provide cause for revocation of the tenure of the faculty member; and
3. The board may not waive the evaluation process for any faculty member granted tenure at an institution.

[ In addition to the new language above, the statutes were modified to require boards to remove faculty "found guilty" of various offenses. The proposed language is immediately below. ]

Each board . . . upon recommendation of the president shall [ note requirement ] remove any faculty member or employee, if the board finds the faculty member or employee guilty of incompetency, neglect of or refusal to perform his duty, or immoral conduct.

[ The existing language for these sections is: ]

Each board . . . upon recommendation of the president may [ note option ] remove any faculty member or employees, but no . . . faculty member shall be removed except for incompetency, neglect of or refusal to perform his duty, or for immoral conduct.

[ The several other changes to the existing KRS appear to be simply have the effect of making the three statutes more parallel in language. ]

[ Senator Philpot introduced this bill with a [PRESS RELEASE](#). ]

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[Some actions available to faculty:](#)



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## **NEWS RELEASE** Senator Tim Philpot

March 17, 1997

For Immediate Release

### **Legislator Wants Post-tenure Review of College Faculty**

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FRANKFORT - Sen. Tim Philpot, R-Lexington, filed legislation today to require college and university professors to receive regular post-tenure reviews.

"This won't be a popular bill with our university professors," Philpot stated, " but the public expects the highest quality of performance from our best educators. Excellent teachers and researchers have nothing to fear from a simple evaluation of their performance."

Traditionally, college professors are not subject to regular administrative reviews after they receive tenure. Under Philpot's bill, each Kentucky college and university faculty member would undergo a comprehensive post-tenure evaluation every five years.

Evaluations would include review of teaching performance, research and service. Below-standard evaluations could result in the revocation of the faculty member's tenure.

If passed, all college and university faculty members would have to complete their first post-tenure reviews by January 1, 2003.

Philpot hopes the bill will be considered in the upcoming special session on higher education, which the governor has tentatively scheduled to begin May 5. If the bill is not included in the special session, it will be considered during the 1998 Regular Session.

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*For more information, contact:*

*Senator Tim Philpot*

*502-564-8100 ext. 625*

*or 606-224-3093*

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[Click here to see excerpts of the bill's text .](#)

[Some actions available to faculty.](#)

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## An Open Letter to the Arts and Sciences Faculty

Over the past year, the AAUP Executive Committee has carried on a dialogue with Dean Richard Edwards about the proposed A&S Professional Review for Tenured Faculty. From the beginning, we found the professional development ideas laudatory, but had strong concern that the plan would involve faculty in unneeded reviews, and that it did not sufficiently protect the faculty's rights of due process and academic freedom. Dean Edwards, responding positively to suggestions from AAUP and individual faculty members, made many improvements embodied in successive drafts. During this time AAUP developed an alternate proposal, which we shared with the Dean early in 1994, and which was circulated to you early in March. Since the March 3 faculty meeting, in which it was announced that the A&S faculty would be asked to vote on the plan, we have had several meetings with the Dean who has agreed to incorporate most aspects of our proposal into either the policies related to the plan dated February 10 or in procedures relative to the operation of the A&S college generally. Consequently, despite some lingering concerns, we have voted to favor implementation of the February 10 version of the Professional Review for Tenured Faculty on a trial basis and to inform the A&S faculty of our reasons for doing so.

### **Our favorable stance was decided by consideration of the following points:**

- Written assurance from the Dean that criteria for the performance of faculty in the several departments would be in place before the initiation of the plan. The development of such departmental criteria has been a long-standing AAUP goal;
- The Dean's willingness to encourage yearly DOE/FMER meetings between each faculty member and her or his chair, regardless of performance, to promote mutual understanding and forestall future problems;
- Written assurance from the Dean that chairs will be expected to conduct DOE/FMER discussions at least yearly, beginning this spring, with faculty members having a 4.0 or lower on a 7 point scale in any area in which the faculty member was to spend more than 25% of her or his effort (only those with 2.5 or under in two successive biennial evaluations would face mandatory review);
- Elimination of mandatory review solely at the request of the chair;
- The option in the 2/10/94 draft to allow the adjustment of the DOE as a mechanism to accommodate a faculty member's changing interests and professional strengths. The opportunity to modify one's distribution of effort should have a positive effect on both performance and performance evaluation ratings;
- The focus of mandatory review, which would now fall only on those faculty for whom there is strong evidence of serious disengagement;
- The expanded options for choice by a faculty member of reviewers which may better insure impartial judging of performance, which may, in turn, increase the fairness of the FMER process itself;
- Our belief that the plan, with the agreed upon safeguards in place, will not reduce academic freedom nor deny due process for any faculty member, and may enhance faculty welfare and overall faculty performance;
- The institution of a mechanism, triggered by the request of a faculty member, for aid in professional development;
- The elimination in the current draft of the overt threat of reassignment or dismissal;
- The reliance on already existing procedures of appeal;
- The fair and gradual implementation of the plan over time, coupled with the provision that, after four years, another affirmative vote by the A&S faculty is required if the plan is to continue, on a trial or permanent basis.

The Executive Committee has throughout the year deplored the need for establishing new procedures for accountability -- a need brought about both by the actions (or "in-actions") of a very few faculty, and by public misperception and misunderstanding of the role academic freedom plays in the existence of tenure. The Committee is painfully aware of the post-tenure review policies forced on faculty in other institutions and states. If we do not ourselves take action to prevent abuse, we may find such measures imposed upon us. Although the proposal before you is not perfect, the evolution of it and the assurances outlined above have persuaded us that the plan, given its experimental nature over a

limited period of time, merits a trial. Of course, we plan to watch the implementation very carefully and we will continue to be vigilant about protecting faculty rights.

We invite you to inspect the documents, which have been exchanged between AAUP officers and Dean Edwards, and we encourage your questions as well -- either about the proposed policy or about your particular situation with respect to any matter relating to academic freedom, tenure, or faculty welfare.

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[AAUP home](#)

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The policies set forth in the following document were instituted on a trial basis in spring 1994 by the College of Arts and Sciences at the University of Kentucky. The document was developed over a year and a half period, after which it was adopted by the faculty; twice as many faculty voted for it as against. The policy, perhaps modified, will be reconsidered in spring 1998. Dean Richard C. Edwards initially proposed a post-tenure review policy, which was met with considerable opposition, primarily from the local AAUP. Much debate and negotiation ensued, and the draft document was modified several times. AAUP supported the final document, together with some side agreements, in an open letter to the faculty. In general, most of those involved consider the process and its outcome to be a model for both shared governance and professional review. For more information, please contact either Dean Richard Edwards ([redwards@pop.uky.edu](mailto:redwards@pop.uky.edu)) or Professor Michael Kennedy ([kennedy@pop.uky.edu](mailto:kennedy@pop.uky.edu)).

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## University of Kentucky

### College of Arts and Sciences

### Professional Review for Tenured Faculty

#### **PROLOGUE: RATIONALE AND NEED**

Why a system of post-tenure review now? This proposal is a response to the changing circumstances of the modern university, three specific conditions of which directly impinge on the need for post-tenure review.

First, public universities are facing a period of lean budgets and virtually no real (inflation-adjusted) growth in finances. Indeed, most universities have experienced prolonged periods of budget cuts, and the prognosis is that health care, prison construction, and certain other costs are likely to consume all of the growth in future state budgets. The result is that universities, and this is true for us at the University of Kentucky, are increasingly being asked to live within roughly constant budgets. For most departments, no-growth budgets mean no increases in faculty sizes; any quality improvement or rise in reputation will have to come out of a constant faculty size, rather than by the method most commonly relied upon previously to build departments, that is, by adding faculty positions.

Second, higher education's special exemption from the federal ban on mandatory retirement ended on January 1, 1994. After that date, faculty members will not be required to retire except when the university can prove sufficient dereliction or neglect of duties to support dismissal. For departments, the end of mandatory retirement means that it is no longer feasible, nor perhaps even legal, for departments to take a "life-cycle" approach to faculty careers (that is, an approach in which junior members are seen as highly energetic, go-getter researchers, senior faculty are mature scholars and advisors, and mandatory retirement as the means of freeing up new positions for young scholars). Neither will departments, when confronted by a faculty member who is extraordinarily and chronically unproductive, be able simply to "wait for retirement;" such faculty members may now linger on for a decade or longer beyond what would otherwise have been mandatory retirement. Both the law and circumstance impel us to develop meaningful evaluation procedures that focus on performance and are neutral with respect to age.

Third, universities are faced by intense and growing external demands for accountability. Councils of Higher Education, legislators, news media, and others demand that universities account for the public resources being consumed by universities and that educators defend long-established academic practices. (The most insistent demand focuses on the quality of undergraduate instruction.) The strong implication is that if universities do not develop adequate methods of accountability by themselves, others will likely do it for us, imposing their own versions of accountability, with perhaps less respect for traditional academic practices and values; indeed, in a number of states such schemes have already been enacted in legislation.

Considering these three developments together, it seems clear that we must change some internal academic practices. We should do so because it is right, since the circumstances under which traditional practices operated have now changed and we should adapt. Less nobly, we should do so because if we do not do it, others outside the university may impose changes that are less consistent with our academic values. Departments have also discovered that the cost of ignoring (maintaining) a chronically unproductive faculty member has substantially increased. As departments strive to develop and improve, the traditional path -- adding additional faculty positions -- is likely to be foreclosed. Thus, to an otherwise hard-working and ambitious department, a faculty member who is chronically and highly unproductive is not simply an inconvenience or irritant but instead is an actual obstacle, hindering that department's plan for betterment.

Academic sentiment rightly insists upon giving enormous deference and latitude to faculty members pursuing scholarship that may be out of vogue, politically controversial, long in gestation, or in other ways needful of the protections of academic freedom. If we could be assured that such considerations are not at play, we might be less willing to tie up a valuable faculty line for a professor who, over a long period, has demonstrated that he or she is simply unproductive and disengaged from the academic enterprise.

In such cases, the question arises: is there a way to develop a post-tenure review system that can respect all of the important values and practices of traditional academic employment, including most importantly academic freedom and tenure, and that will nonetheless allow departmental faculties to intervene in those cases of true dereliction or neglect of duties? The system outlined below is an attempt to institutionalize this delicate balance.

## CONTEXT

### **A Community of Engaged Scholars.**

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We, the College of Arts and Sciences, view ourselves as a *community of engaged scholars*, organized and bound together to fulfill our responsibilities and to pursue our aspirations.

An engaged scholar is one who, being wholeheartedly committed to the principles and aspirations of the academy, vigorously participates in the full range of scholarly activities. Over his or her career, perhaps at times with one emphasis and at other times with a different emphasis, an engaged scholar is a dedicated and patient teacher, a highly focused and concentrated researcher, a learned resource and mental stimulant for colleagues, an active and public participant in the campus's intellectual culture, and a valued contributor to the larger success of the community of scholars and to the achievement of the faculty's responsibilities. In short, an engaged scholar brings all the faculties of his or her existence -- intellectual talents, energies, and passions -- to his or her everyday calling as a scholar.

By this model we explicitly reject the notion that there is only one career profile of a successful faculty member. Some faculty members, or every faculty member during some periods of his or her career, will be more oriented to achieving great strides in the discovery of new knowledge; other members, or each member during some periods, will be devoted to exploring a deeper or wider understanding of received knowledge or to working out more effective or intensive teaching efforts or to sustaining and contributing to the vitality of campus intellectual life. The model of the engaged scholar permits, indeed fosters, multiple orientations and varied activities.

We as a faculty have a stake in each other's contributions and successes; hence admission to the community of engaged scholars unavoidably implies acceptance of the high aspirations we set for ourselves and the high standards to which we hold ourselves. Each faculty member and the College at large thus share a vital stake in sustaining the faculty member's continuing enthusiasm, energy, and effort in his or her teaching and research. The College's faculty represents its most important resource, and the College must place a very high priority on maintaining and developing every faculty member's professional engagement throughout his or her career.

This mutuality of interest in fact underlies an implicit moral compact between the faculty member and the College. The faculty member must pledge his or her best efforts on a continuing basis. The College must provide an intellectual and material environment within which the faculty member's best efforts will be effectively transformed into achievement. The Professional Review process outlined herein is part of this moral pact.

This compact has not always been observed. When pressed, most universities admit that traditional academic evaluation procedures can result in a small subset of tenured faculty becoming disengaged scholars whose contributions to the academic enterprise chronically fall below acceptable levels. Unfortunately, such faculty members may not be held accountable for their disengagement. The faculty and the administration have failed to develop positive ways to help these faculty to improve; indeed, the incentives we do employ are almost invariably punitive in nature (such as the denial of merit raises). Because our procedures are post hoc, we punish inadequate performance but do little to plan for and stimulate the future performance that we desire. And because we have resisted recognizing the problem, such faculty are offered little encouragement or support to change. In consequence, these faculty achieve less than they are capable of and their colleagues often must shoulder heavier burdens.

## **PURPOSE**

The purpose of this Professional Review system is to provide effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member continues to experience professional development and accomplishment during the various phases of his or her career.

The Professional Review system must not undermine the concepts of academic freedom and tenure, which are essential to the University. There is a presumption of competence on the part of each tenured faculty member. The review must reflect the nature of the individual's field of work and must conform to fair and reasonable expectations as recognized by faculty peers in each department and discipline. The review is to be conducted in a manner free of arbitrary, capricious, or discriminatory elements and which follows agreed-upon procedures.

The Professional Review system will be focused on those tenured faculty who request it and on tenured faculty for whom the biennial performance ("merit") reviews indicate persistent sub-par performance. It is thus intended for a specific sub-group of the faculty and is not intended as a new requirement burdening all tenured faculty. The system will be a supplement to (not a replacement for) the biennial performance review or other reviews. Non-tenured faculty are excluded because other review mechanisms exist to evaluate their performance.

Evaluation can be a positive force when used to encourage members of the faculty community to continue their professional growth and to remain professionally active. We intend to emphasize continuing engagement with all forms of scholarship and to provide incentives and resources to assist faculty members in remaining engaged.

## **PROCEDURES**

### **Expectations for Performance.**

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Each department will develop a narrative statement of its expectations for adequate faculty performance by tenured faculty. Such statements shall include expectations for the areas of research, teaching, and service, they shall be differentiated by rank and level of seniority if relevant, and they shall be as specific as is possible without unduly restricting the recognition of the diverse valuable contributions that individual faculty members may make. This statement, once agreed upon by the departmental faculty, shall be reviewed by the Dean to assure that the faculty performance expectations are in keeping with the established mission of the College and that they do not fall below College expectations for faculty performance. The approved statement of expectations will be the basis within the Professional Review for evaluating a faculty member's performance.

### **Timing of Evaluation.**

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Professional Review evaluations will ordinarily be conducted during the academic year following the regular biennial merit review of tenured faculty (the "off" year).

### **Plan A: The Faculty Member Requests an Evaluation**

A Professional Review may be requested by a tenured faculty member and initiated upon approval by the Dean. In this

case, the review shall be strictly for the purpose of assisting the faculty member in evaluating his or her career, and no documents or results of the review shall be used in any other university evaluation process except by explicit consent of the faculty member. The department chair shall inform the faculty member of the nature and procedures of the review.

### **The Review Dossier.**

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The department chair shall prepare a review dossier in consultation with the faculty member. The faculty member has the right and obligation to provide for the review dossier all the documents, materials, and statements he or she believes to be relevant and necessary for the review, and all materials submitted shall be included in the dossier. Ordinarily, such a dossier would include at least the following: an up-to-date vita, a teaching portfolio, and a statement on current research or creative work. The chair shall add to the dossier any further materials (prior evaluations, other documents, etc.) he or she deems relevant, in every case providing the faculty member with a copy of each item added. The faculty member shall have the right to add any material, including statements and additional documents, at any time during the review process.

### **The Review Process.**

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The review will be conducted by a three-member ad hoc faculty review committee appointed by the Dean in consultation with the faculty member and his or her chair. The review will focus on the faculty member's accomplishments, research agenda, teaching program, and service contributions, relating these to the stated expectations for performance developed by the department. The purpose of the review is to provide informed and candid feedback to the faculty member concerning his or her accomplishments, the quality of the person's contributions, any weaknesses or deficiencies in the record, and (for associate professors) guidance on what would be needed to prepare for a successful promotion review.

### **Professional Development Plan.**

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The review panel, in cooperation with the faculty member being reviewed, may decide to prepare a professional development plan. This plan would provide specific guidance and advice to help the faculty member more fully meet departmental expectations and more effectively achieve his or her own goals.

The plan should:

- 1) identify specific strengths and weaknesses;
- 2) define specific goals or outcomes that would help the faculty member overcome the identified weaknesses;
- 3) outline the activities that can be undertaken to achieve the goals or outcomes;
- 4) set appropriate timelines within which these goals or outcomes could be accomplished;
- 5) indicate appropriate criteria by which the faculty member could monitor his or her progress;
- 6) identify the source of any funding or institutional commitments (if required).

The faculty member shall be encouraged to discuss the results of the review with his or her department chair and dean; such discussion shall be, however, at the option of the faculty member.

The College has a vital stake in the faculty member's success, and so it stands ready to assist the faculty member in achieving the outcomes indicated in the Review plan.

### **Plan B: A Faculty Member Is Selected for Review**

A Professional Review may be initiated when a faculty member is selected for review; any tenured faculty member who receives a merit rating of 2.5 or lower (on a 7-point scale) for two successive biennial evaluation periods in any category (research, teaching, service) in which the faculty member's DOE is 25 percent or more will be selected for a Professional Review. The department chair shall inform the faculty member of being selected for review and of the

nature and procedures of the review. Upon recommendation of the department chair and approval of the Dean, a faculty member subject to evaluation under this plan may be exempted if there are extenuating circumstances (such as health problems).

One option that would avoid a review would be for the faculty member to change his or her DOE so as to reduce below 25 percent the category in which he or she is deficient. This alternative follows from the notion of "multiple profiles" of a successful faculty member -- that is, that there need not be a "one-size-fits-all" DOE and that faculty members can contribute in a variety of ways to the multiple missions of the College. A change in the DOE would imply the assignment of new duties to the faculty member, and it would need to be approved by the department chair and the dean. In some cases this option may not be possible; for example, under ordinary circumstances it would not be approved for a faculty member to reduce his or her teaching assignment to less than 25 percent of the DOE.

When a review is conducted, the general strategy invoked would involve three steps: first, to identify and officially acknowledge chronic deficits in an individual faculty member's performance; second, to develop a specific professional development plan by which to remedy these deficiencies; and third, to monitor progress towards achievement of the plan.

### **The Review Process.**

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The initial review will be conducted either by the department chair, a three-member ad hoc faculty review committee (including one member of the Arts and Sciences Council) appointed by the Dean, or a subcommittee of the Arts and Sciences Council (appointed by the Council), the choice being the option of the faculty member. The review may result in the following outcomes:

- 1) Some strengths, no deficiencies identified. If the reviewer (department chair, ad hoc committee, or Council subcommittee) determines that the faculty member being evaluated has, during the preceeding four years, met the reasonable expectations for faculty performance as identified by his or her department, the faculty member will be so informed and the review is thereby completed.
- 2) Some strengths and some deficiencies are identified, but the deficiencies are determined not to be substantial and chronic. If the reviewer identifies some deficiencies in the faculty member's performance as compared to reasonable expectations set by his or her department, but those deficiencies are not judged to be substantial and chronic, the reviewer shall state in writing the specific deficiencies identified and provide a copy to the faculty member and his or her department chair. If accepted by the Dean, the review is thereby completed.
- 3) Substantial and chronic deficiencies are identified. If the reviewer determines that there exist substantial and chronic deficiencies in the faculty member's performance, the reviewer shall state in writing the specific deficiencies identified and provide a copy to the faculty member and his or her department chair. The faculty member and the chair shall then work together to draw up a professional development plan.

### **Professional Development Plan.**

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The professional development plan is an agreement indicating how specific deficiencies in a faculty member's performance (as measured against reasonable departmental expectations) shall be remedied. Ideally, the plan should grow out of an iterative collaboration among the faculty member, department chair, and Dean, and to the fullest extent possible, it should reflect the mutual aspirations and intentions of the faculty member, the department, and the College.

The plan shall be formulated by the department chair and Dean with the assistance of and in consultation with the faculty member. It is the faculty member's obligation to assist in the development of a meaningful and effective plan and to make a good faith effort to implement the plan once it is adopted.

The plan must:

- 1) identify the specific deficiencies to be addressed;
- 2) define specific goals or outcomes that are needed to remedy the deficiencies;
- 3) outline the activities that are to be undertaken to achieve the needed outcomes;

- 4) set timelines for accomplishing the activities and achieving the outcomes;
- 5) indicate the criteria for annual progress reviews;
- 6) identify the source of any funding (if required).

## **Appeal.**

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The faculty member shall have the right of appeal. Of course the faculty member retains all rights of appeal as specified in University Governing and Administrative Regulations. In addition, the faculty member shall have the right within the College to appeal to the College Advisory ("Area") Committee and the Dean.

If the faculty member being evaluated contests the reviewer's finding of deficiencies, the evaluation will be forwarded to the College Advisory Committee for the Area (Humanities, Social Sciences, Natural and Mathematical Sciences) of the faculty member's primary appointment. After consultation with the faculty member and the reviewer, the Advisory Committee shall assess whether or not the initial evaluation should be upheld. If the College Advisory Committee determines that the faculty member has met reasonable expectations for faculty performance, the review is concluded. If the College Advisory Committee upholds the finding of the reviewer, it shall communicate its finding to the faculty member, his or her department chair, and the Dean in writing, and the review process shall go forward.

## **COMPLETION**

### **Monitoring and Follow-Up.**

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The faculty member and his or her department chair will meet annually to review the faculty member's progress towards remedying the deficiencies. A progress report will be forwarded to the Dean.

Further evaluation of the faculty member within the regular faculty performance evaluation processes of the University may draw upon the faculty member's progress in achieving the goals set out in this plan.

### **Completion of Plan.**

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When the objectives of the plan have been fully met, or in any case no later than three years after the start of the development plan, the department chair shall make a final report to the faculty member and the Dean.

The successful completion of the professional development plan is the positive outcome to which all faculty and administrators involved in this process must be committed. If the disengagement of some scholars derives in part from an organizational failure, the re-engaging of their talents and energies reflects a success for the entire University community.

For further information please contact:

Michael Kennedy  
Department of Geography  
Patterson Office Tower #1451  
University of Kentucky  
Lexington, KY 40506-0027

ph: (606) 257-6494  
[kennedy@pop.uky.edu](mailto:kennedy@pop.uky.edu)





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## **Press Release: AAUP Response to Patton higher education proposal**

The Kentucky State Conference of the American Association of University Professors, representing public and private, two and four year colleges, regional and research universities, shares a common interest and responsibility in the quality of higher education. We welcome the leadership of the governor and the legislature in the reform effort. At this phase of the effort, however, we note two particular concerns. We worry that the time frame--implementation date July 1st 1997--proposed by Governor Patton for making the monumental changes in post-secondary education may prohibit meaningful citizen participation in the reform process. Further, we are concerned that the role of educators in making education decisions not be handed over to politics and politicians. In particular, we urge that the legislature consult fully with faculty and citizens of the Commonwealth on the specific proposal released by the governor on March 26 on issues that impact academic due process before any such plan becomes final. The Kentucky AAUP Conference stands ready to consult with the legislature and otherwise contribute to the process.

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**UK AAUP home**

## Current Issues:

### Faculty Participation in the Pursuit of Higher Education Excellence

Nov. 11, 1996

A Statement by the University of Kentucky Chapter of the **American Association of University Professors** to the Governor's Task Force on Post-Secondary Education

We applaud Governor Paul Patton's recent initiative to study the Commonwealth's system of higher education. It has been almost two decades since the original Prichard Committee produced its landmark volume, "In Pursuit of Excellence." That report retains its relevance in the face of the new challenges and opportunities currently facing higher education. As the faculty and students of this University engage in the essential activities of all universities--teaching and learning; discovering and reflecting; producing, disseminating and applying knowledge; developing and expressing creativity--it is reassuring that others in the Commonwealth are devoting thought and effort to making Kentucky higher education the best that it can be.

It is important to keep in mind the desired end results of higher education when planning the introduction of new methodologies or organizational structures for learning. The Prichard Report's description of an educated person reveals some enduring goals of university life. The report lists nine broad competencies possessed by an educated person. Among these are the ability to reason, to solve problems, to understand one's intellectual, cultural, and social heritage, to be able to learn independently, to engage in artistic creativity, to critically assess new ideas, and to have the skills to contribute to the economic well being of society. For faculty to model such attributes and for students to develop them remains a crucial feature of our academic life, whether conducted on the Internet, in the classroom, or in the laboratory.

One significant aspect of the Governor's charge is to investigate the use of technology to spread opportunities for higher education. The Prichard Committee's work came during a time when modern communications technology began to play a role in delivering instruction throughout the Commonwealth. In competition with other universities, UK won a major contract to deliver instruction via satellite to sites throughout our state and others in the Appalachian region. The Appalachian Regional Satellite Program, as well as the delivery of doctoral programs throughout the state via compressed video technology and numerous other distance learning programs, has made us pioneers in the use of technology to broaden the impact of the University.

Our involvement in all these efforts has shown the power of these new technologies in educating students, but has also revealed that there are many problems, often unanticipated. Based on this considerable experience, there is much faculty concern about how the use of technology may change in the future and how it can be harnessed without compromising either the quality of education or the integrity of interactions among and between faculty and students. These are crucial issues which we feel must be carefully addressed.

The introduction of new technology is not the only road we can, or should, follow in attempting to improve our educational system. We are concerned that the dollars of the Commonwealth not be wasted in non-productive endeavors or unintended consequences of technical innovations. We are

particularly concerned about increasing the standard of excellence of the research function of education. Practical assistance toward this end might well include better funding of endowed chairs and of graduate students, including a significant increase in the number of fellowships. An excellent research base is necessary to the achievement of a better life and better economy in the Commonwealth.

Technology is not a silver bullet. Neither buying a set of encyclopedias and putting them in your child's room nor giving her access to the Internet will make the child educated or wise. Understanding education and the scholarly process is the key to the intelligent, effective and productive use of new educational technology. Effective revisions in the educational system require the help of those knowledgeable about the learning process, and especially about the effect of student-faculty interpersonal relations on the process.

While our prime interest in the university is in the production, evaluation and dissemination of knowledge, culture, and intellectual and creative skills, we know that a comprehensive system of higher education has far reaching effects on the community it serves. The Commonwealth's system of colleges and universities enhances citizens' lives well beyond the classroom. It is intimately related to the economic well-being of the state and to its potential for economic growth. It stimulates local economies and provides economic opportunities for its participants. Although a study of the system with a view to improvement is always welcome, we feel it is important to remember that universities are some of the most long-lived and resilient institutions in society. The core value of our universities, the value which epitomizes their contribution to society, is the scholarly process, a process best understood by faculty.

We wish the Governor's Task Force every success in its endeavors. The faculty of the University of Kentucky stand ready to lend their considerable knowledge, expertise and experience to the efforts to make the higher education system of Kentucky as effective and valuable as it possibly can be for the benefit of all the citizens of the Commonwealth. As faculty, we wish to contribute to this endeavor, and ask to be included in the process.

**UK AAUP home**



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## By The Numbers

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**1 of 8**

UK is one of only eight institutions in the country with the full complement of liberal arts, engineering, professional, agricultural and medical colleges and disciplines on one contiguous campus.



**3.68**

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