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UNIVERSITY OF KENTUCKY

LEXINGTON, KENTUCKY 40506-0032

UNIVERSITY SENATE COUNCIL  
10 ADMINISTRATION BUILDING

10 April 1992

TO: Members, University Senate

The University Senate will meet in regular session on Monday, April 13, 1992, at 3:00 P.M. in room 115 of the Nursing Building (CON/HSLC).

AGENDA:

1. Minutes: 9 March 1992.
2. Resolutions.
3. Chair's announcements.
  - a. Report from Institutional Finance and Resource Allocation Committee, prepared by James Funk, Chair.
  - b. Report of results from Board of Trustees Ballots -- member chosen
  - c. Faculty Handbook -- report of expected timing of release.
  - d. Report, Academic Ombud: J. Russ Groves.
4. Action Items
  - a. Recommendation to the administration to revise the Administrative Regulations (AR II - 1.0) to incorporate the Report on Teaching Evaluations materials. (Circulated under date of 7 April 1992 )
  - b. Proposed change in University Senate Rules, Section IV - Admission to the College of Education: Teacher Education Program. (Circulated under date of 31 March 1992.)
  - c. Action on proposed Honor Code for College of Dentistry (circulated under date of 6 April 1992).
  - d. Report and final action on the report of the ad hoc Committee on the Status of Women (circulated under date of 25 March 1992).

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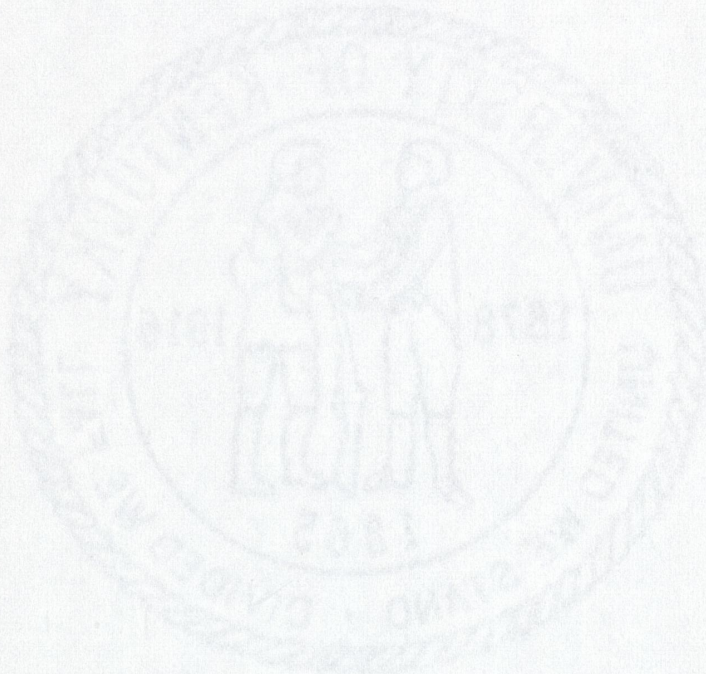
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- e. Report and final action on the ad hoc Committee on the Status of Minorities (circulated under date of 7 April 1992).

Randall Dahl  
Secretary, University Senate

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MINUTES OF THE UNIVERSITY SENATE, APRIL 13, 1992

The University Senate met in regular session at 3:00 p.m., Monday, April 13, 1992, in Room 115 of the Nursing Health Sciences Building.

Marcus T. McEllistrem, Chairperson of the Senate Council, presided.

Members absent were: Reginald J. Alston, Jim Arnett, Robert S. Baker\*, Bart Baldwin, Harry V. Barnard\*, Robert L. Blevins\*, Douglas A. Boyd, Carolyn S. Bratt\*, Martha Bruenderman, Joseph T. Burch, D. Allan Butterfield\*, Rutheford B Campbell, Jr., Bradley C. Canon, Clyde R. Carpenter, Ben W. Carr, Edward A. Carter, Samuel Q. Castle, Donald B. Clapp, Lenore Crihfield, Scott A. Crosbie, Frederick W. Danner, Richard C. Domek, Jr., Paul M. Eakin, James E. Funk\*, Richard W. Furst, Joseph H. Gardner, Misha Goetz, Lester Goldstein, Philip A. Greasley, Tod A. Griffin, William S. Griffith, Robert D. Guthrie, Lynne A. Hall\*, J. John Harris III, Zafar S. Hasan, Christine Havice, Donald L. Hockstrasser\*, Brian Hoffman, Micki King Hogue, James G. Hougland, Jr., Don A. Howard, Jay Ingle, Richard A. Jensen, Adrian Jones\*, Kevin S. Kiernan, Angela Knopp, Kenneth K. Kubota\*, James M. Kuder\*, C. Oran Little, William C. Lubawy, Bruce A. Lucas, Lee Magid, Pamela McMahon\*, Shawn Meauz, Peggy S. Meszaros\*, Richard S. Milich\*, Phyllis J. Nash\*, Derby Newman, Clayton R. Paul, Deborah E. Powell\*, Daniel R. Reedy, Thomas C. Robinson, Jim Shambhu, Michael C. Shannon, Andrew Shveda, M. Scott Smith\*, Robert H. Spedding, David H. Stockham, Brian Stover, John S. Thompson\*, Miroslaw Truszczynski\*, Thomas Tucker, Charles T. Wethington\*, Carolyn A. Williams\*, Eugene R. Williams, Paul A. Willis, Emery A. Wilson\*, and Thomas R. Zentall.

The Chairperson announced that there will be another Senate meeting on Monday, April 27. There will be the Honor Code from the College of Medicine, and there will be other issues coming forth at that time.

The Minutes of March 9, 1992, were approved as circulated. The Chairperson stated that the February Minutes have been received. However, since they are long and had two sets of calendars with them, he did not ask for approval.

The next item on the agenda had to do with the anticipated retirement of an individual. The Chairperson read a brief statement submitted by a former Chairperson of the Senate Council, Professor Constance Wilson.

We will miss Martha Sutton when she retires. Since the 70's she has provided quietly but with grace the continuity of this body as required, the accurate Minutes this body has taken as routine. She will now take these same gifts and share them as she starts her new life teaching children. We wish her good luck and best wishes.

The Chairperson invited Celinda Todd to present a resolution on Martha's behalf. Celinda Todd stated:

"On May 3, 1976, Professor Paul Sears offered a resolution on behalf of the Senate for ... and I quote ... 'one person among us whose association with this body is unparalleled in its

\*Absence explained.

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history.' These words were directed to Ms. Kathryn Shelburne, who had served as Recording Secretary of the University Senate for twenty years. In September, 1976, Martha Ferguson assumed the seat to my left for her first Senate meeting as the Recording Secretary of the University Senate. She was taking the place of the legendary Kitty Shelburne. Martha has held that seat ever since, and filled those legendary shoes with the same style and forthrightness as her predecessor. And so today we honor the second person as we did the first--as unique in her association with the University Senate.

Lots of things have changed since 1976. For one thing, she's known to all of you now as Martha Sutton. But she's still the Martha you call when you want to know the result of an election or what was really said on the floor about an issue. She is the record keeper of the Senate, who, with the Chair of the Rules Committee has conducted all the elections - for the Senate and its Councils as well as the Faculty Board members. The Senate meetings have moved from the Law School court room by way of the classroom building, the biological sciences building and finally to this building. Computers and word processors have taken the place of those old favorites--the electric typewriter. A recording system in the room has provided an incredibly fine vehicle for making the tapes to transcribe the Senate's every word. Some may even argue that that may not always be a plus! But it beats carrying around a load of recording equipment and back-up everything--something she did for a lot of years.

I'm sure the most obvious change in her tenure has been in the Senate leadership. Martha has worked with sixteen Senate Council chairs, some of whom are here today to honor her in this, her last Senate meeting. Each could speak to her unique contributions and her unflagging loyalty to the Senate, but each is here today to let her know in no small measure how important her presence has been. Beginning in 1976,

- 1976 - Mac Jewell, Political Science
- 1977 - Connie Wilson, Social Work
- 1978 - Paul Oberst, Law
- 1979 - Joe Bryant, English
- 1980 - Joe Krislov, Economics
- 1981 - George Schwert, Biochemistry
- 1982 - Don Ivey, Music
- 1983 - Doug Rees, Medicine
- 1984 - Bob Bostrom, Communications
- 1985 - Brad Canon, Political Science
- 1986 - Wilbur Frye, Agronomy
- 1987 - Bill Lyons, Political Science
- 1988 - Loys Mather, Ag Economics
- 1989 - Don Leigh, Engineering Mechanics
- 1990 - Carolyn Bratt, Law
- 1991 - Marcus McEllistrem, Physics

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Mr. Chairman, please let us rise to recognize Martha Sutton for her many contributions to the University Senate and the University of Kentucky. Let us express to her, with a round of applause, our gratitude for her fine service, devotion and extraordinary work ethic, and, to wish her godspeed as she moves on to other challenges and rewards in the years ahead.

The Chairperson thanked Celinda and stated that the resolution was enthusiastically and unanimously adopted.

The following remarks were made by the Chairperson:

We have a report from one of our committees that has been especially relevant to issues that have come up in the recent past, in the present and in the future. That has to do with budget issues. This is a report from the Senate Committee on Institutional Finances and Resource Allocations. Professor James Funk, Mechanical Engineering, asked me to read the report to you. He and his committee have met on several occasions with Vice President Ed Carter, Vice President for Management and Budget, and Joan McCauley in the Office of Planning and Budget. They have been very cooperative and helpful with our committee. Professor Funk has said, 'In the various annual reports revenue is reported by source--such as state appropriation, tuition and fees, etc. Expenditures are reported by 1) programs--such as instruction, research, etc. and 2) by categories--such as personnel costs, operating expenses, etc. The totals for sources on the one hand and expenditures by program and categories on the other are, of course, equal. Personnel are characterized by groups such as executive/administrative/managerial, faculty, professional and non-faculty professional and so forth. We would like to see, by department, college, and sector (including graduate studies, research and information services), and central administration, expenditures by Program and by Category such that the sum of all of these will be equal in number to the annual reports mentioned above. We would also like to see, for the same breakdown, personnel numbers by the group categorization mentioned above. If such data are available for each year for the past few years, it would be helpful.'

Those data have been requested and Professor Funk and his committee will be working with the Office of Planning and Budget to work through these numbers in the future. We hope that will be helpful to the whole strategic planning process that will be going on next year.'

That is the report from that committee. I want also to offer a couple of other reports. I can report the results of the Board of Trustee ballots. Professor Deborah Powell, Chairperson of the Department of Pathology, was elected to represent the faculty to the Board of Trustees. [Professor Powell was given a round of applause.] Professor Powell joins Professor Carolyn Bratt of the College of Law, and those will be our two faculty trustees when the new Board is put together on July 1.

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As you know, Professor John Piecoro, who offers action items this year for your consideration, will succeed me at the middle of next month, May 16, as Chairperson of the Senate Council and it is traditional to select the successor to that individual about this time. Professor Daniel Fulks, Department of Accounting in the College of Business and Economics, has agreed to become Chair-elect and will succeed Professor Piecoro a year from now.

The Faculty Handbook has gone through one round of reviews by selected faculty and administrators and one or two staff people. It is in the rewriting stage right now. It appears to be more or less on course so we should expect the faculty Handbook sometime late this spring or summer. It should be here in ample time for the visit from the Self-Study Site Committee next fall. That is coming along at an orderly pace.

Finally we will have a brief report today from Russell Groves, the Academic Ombud.

Professor J. Russell Groves, Academic Ombud for 1991-92, made the following remarks:

Thank you Marcus. As you know, it is customary in the fall of each year for the Academic Ombud to present a full report. I will do that at the appropriate time. It occurred to me as we approach finals week that I might share with you just a few thoughts from our experience in the past year. While the year is not completed, I think that I can share with you some thoughts that might be useful in the next few weeks especially as we approach finals week.

I had several issues I wanted to share, but in the interest of time, I extracted one that I think is most important and that has to do with cheating and plagiarism. The number of cases to come to the Academic Ombud has been few, and is not likely to exceed, I would project, a dozen at the end of this year, it is my guess that many of you are dealing with those issues in an informal way and that the number is probably far greater than the figure which comes to the Office of the Academic Ombud.

Nonetheless, it is my view that in terms of human capital, these cases are probably the most expensive in terms of time, frustration, some times ill will, and productive activity. All of those things seem to be intensified under conditions of the confrontation that occurs when allegations of cheating and plagiarism take place.

Thus, my message to you is simply this: please return to your respective faculties and perhaps unearth this memorandum which Gretchen Lagonda prepared almost a year ago, having revised the previous version, and talk with your faculty about steps that are proper under instances of alleged cheating and plagiarism. I will tell you that the matter of bringing an accusation against a student

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is sometimes very difficult. It is difficult in terms of proof, who witnessed what, and sometimes it turns out to be extremely controversial. Nonetheless, I think these guidelines provide the best possible course of action. I would urge you to review those and maybe even consider some "what ifs." Obviously, we have TAs, and we have new members of faculty who just may not be familiar with the procedures that are set out in this memorandum in the University Regulations. We probably have some new deans and department chairpersons who also fall into that category. I think it would be time well spent. In the fall I will share with you statistics and give you the normal report that occurs at that time. Also, I will give you an overview of trends, tendencies, and observations I have seen in an effort to help us all to do a better job. For now, it seems to me that given my experience over the last year that this is perhaps the one most significant issue that I can bring before you in the homestretch as it were, and I ask you to take a second look at this issue. Thanks.

The Chairperson thanked Professor Groves for his remarks.

The following remarks were made by the Chairperson on the actions of the Legislature.

The Legislature has finished now, and there are several things they have done that impact higher education very impressively, and I thought it would be worthwhile pointing those out. You know about the Board of Trustees reconstitution. We will have a new Board starting July 1. Probably one-half continuing members and one-half new members. The overall reappointments will be one-half continuing, but it is my understanding that each individual board need not be one-half continuing. The new board should be oriented by a procedure involving the faculty of each institution, so that is something that the University faculty will be involved with after July 1, undoubtedly.

There is an effectiveness and accountability piece of legislation that was passed that does not impact as much as I had first thought because it turns out that the Office of Planning and Budget has already been reporting much and the President's Assistant for Academic Affairs has been reporting much of this information to the Council on Higher Education. This is now made a matter of law. We have already been doing nearly all of it so that will not have such a big impact in terms of any change. Two laws have been passed that will impact the way some of us sometimes do business, I think. One is an open meetings law, and the other is the open records law. The open records statute makes university employees, for the purpose of open records, State employees which means, for example, that from now on all peer evaluation letters of anybody are open letters available to the person being evaluated in that person's personnel file. There are no more confidential letters. The open meetings result means that in departments, for example, when there is a meeting we will have to take minutes and carefully delineate at least all of the

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actions the department takes and have that record available for inspection later should that record be requested. This open meetings law has that impact through something called the 'State Archives and Library Act' which is something not passed at this time but exists. This will mean a material change in the way we go about personnel evaluations.

Another thing is that a task force has been appointed to look at the issue of common course numbering through Community Colleges and four-year colleges and universities. By November 1993 this task force should be able to report to the Legislative Research Commission which courses in our University can be declared to be common in content and so forth with courses in other institutions and they should then be given common course numbers, and those courses would be automatically transferable. Other courses that cannot be designated as common in that sense should be delineated, should be noted so that students know which are the common courses and which are not. There is a task force studying that issue to report back to the Legislature. Comparable courses bear the same numbers; comparable courses automatically transfer and courses not transferable are clearly identified. The procedures for adding, deleting or reassigning courses would be looked at. These are legislative actions that impact all of higher education in Kentucky. I wanted to mention that. [For a more complete explanation of the Legislature's actions, see attached report at the end of these minutes.]

The Chairperson asked the Senate to waive the ten-day circulation rule for several of the items on the agenda. Motion was moved, seconded, and passed to waive the ten-day circulation rule.

The Chairperson recognized Professor John J. Piecoro to present the first action item on the teaching portfolio which had been considered at a previous Senate meeting. Professor Piecoro read the background information on the recommendations from the committee. Professor Piecoro, on behalf of the Senate Council, recommended approval of the recommendation regarding Teacher Evaluation from the Ad-Hoc Teaching Evaluation Committee to be inserted at the appropriate place in the Administrative Regulations regarding the criteria for appointment, promotion and tenure decisions. (This proposal was circulated to members of the University Senate under date of 7 April 1992.)

Professor Piecoro stated that since the proposal is from the Senate Council it required no second. Professor Piecoro pointed out that on page 2 under Item 6 the words "graduate students" should be inserted after the phrase "supervision of Honors students, graduate students, independent or....." The floor was opened for discussion.

Professor Jesse Weil (Physics and Astronomy) moved that Item No. 1 under "Advising Evaluation" be changed to read "suggested but not required" in the portfolio. In the "Teaching Evaluation" he moved that on page 2, the first line be reworded to state, "provides whatever information the instructor feels to be necessary to provide ....." and delete the word "may." He also moved that under "Teaching Evaluation", item 2 to change "one paragraph description to be changed to "short description."



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The Chairperson stated that the first amendment on the floor was to move Item No. 1 from "required for documentation of teaching" to "suggested but not required" and should be considered separately. The amendment was seconded and the floor was opened for discussion. Professor David Durant (English) feels it is appropriate to have Item I required. Dr. Louis Swift, Dean of Undergraduate Studies, feels that Item I is one of the most important parts of the whole portfolio. He feels that from everything he has read it helps faculty members to sit down and think about what they are doing, what they are going to do, and what they have done. Every one of them has been a helpful document to solicit response and to get some feel of what the faculty member thinks about teaching, what she/he does with the teaching, what success she/he has had with the teaching and what the plans are for the future. He assured the Senate that the temptations that Professor Weil sees have not materialized. His reason for thinking the recommendation is so important is that once the faculty member thinks about his/her teaching, that is very important for evaluating what is wrong. Professor Weil pointed out that his amendment does not remove the possibility for any faculty member to put valuable material into a portfolio. He feels that what he has to say would sound like a lot of platitudes. He stated that he tries to teach the best physics he knows how, and then he can give a few examples, but he does not see that this would be very helpful to someone trying to judge his teaching.

A Senator stated that next year he would be serving on one of the Area Committees for the second time during his tenure at the University, and he does not feel that teaching evaluation has been considered fully enough in the past. He supports the committee's version and wants Item No. 1 to be required. He feels the committee has presented a legitimate package of materials. He does not support the amendment.

Professor William Moody (Animal Sciences) feels the recommendation should be a requirement in the committee's report because one of the beauties of the whole proposal is the fact that it tends to standardize and yet it provides a system or procedure which the teaching faculty can use as guidelines. Other people, such as those who judge tenure, promotion and these kinds of things, can use the information. He supports the committee's recommendations.

Professor Richard Ausness (Law) wanted to know if he is correct in assuming that the recommendation applies to people who have been fully promoted. The Chairperson stated that the recommendations apply to everyone whose normal assignment includes teaching. Professor Ausness stated that for those who are fully promoted it seems there is a lot of effort and paperwork. He would rather see individual colleges adopt a procedure that works best for them. Professor John Thrailkill (Geology) wanted to know if the intent of the portfolio is the sole teaching and advising document used in promotion and merit evaluations. The Chairperson stated that the earlier form of the document was a mixed document which sought input from chairpersons and others who commented on the faculty's teaching, although most of the input was from the faculty member. The document at that point did not appear to belong to the faculty member. One of the changes that the ad hoc committee undertook is that they made this a faculty member's document; only the faculty member is involved with it. Other sections of the Administrative Regulations are proposing that the faculty member be the permanent repository of the

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portfolio, not the Chairperson or anyone else. He added that this would not be the only document used in the evaluation process. It is the documentation that the faculty member has for himself or herself.

Professor Joe Davis (Agriculture Economics) stated there is a body of expertise in teaching and one of the assumptions the committee made was it is not easy to identify good teaching. There should be a better way to identify those valuable faculty members, to evaluate them and get teaching into the institutional values framework. He feels the faculty should be primarily responsible for that and put forth what they think they do and justify what they do as teachers. One of the reasons for the reflective statement is to put into the hands of the faculty that ability to present to their colleagues and administrators their qualifications, their goals and their procedures.

Professor Thrailkill stated that the debate was what is optional and what is mandatory. It seems to him there are other documents and sources of information, and it is important to know if this is the sole document upon which a judgement will be made. In some colleges the student teaching evaluations are pretty much how the colleges evaluate the faculty member. In the recommendations it is stated that these will be maintained by the faculty. He does not understand how that fits into the current practice. The Chairperson stated that that question should be deferred until the amendment is passed.

Professor Ray Betts (Humanities) suggested a brief statement that describes those teaching methods that he/she thinks distinguishes his/her performance and his/her approach to subject matter and its presentation. He would drop the philosophy and the notion of objectives, because they appear on the course syllabus. Professor Louis Chow (Mechanical Engineering) supports the amendment and feels that teaching evaluations should be the job of the deans. He does not feel that the faculty member should be so specific. He does not feel there is enough emphasis on undergraduate teaching, but this document is not the right way to accomplish that. He does not want the document to be so rigid.

Professor Weil agreed with Professor Chow and wondered if faculty members are required to write a brief reflective statement by the researcher which describes his research assignment, sets forth philosophies or objectives, and provides information necessary to provide colleagues with a context for interpreting and understanding of his/her research. He wanted to know if that is reasonable.

Professor Michael Tearney (Accounting) supports Professor Chow from the standpoint that there are so many different colleges and so many different people teaching in different ways that he wants to see maximum flexibility. Not only that but the statement places everything into "a laundry list" that could be used to support the person. Professor Enid Waldhart (Communications) feels that the document is in the form it should be and if there is ever to be any kind of uniformity, there needs to be criteria approved. She stated that the committee has revised the document to make it readable. She feels the recommendations should be tried and see if they work.

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Professor Martin McMahon (Law) feels there is room to look at the document differently if there are fully promoted people involved. He tends to agree with the comment about fully promoted members and the paperwork time which could be spent more productively on other matters. He does not feel that people who are fully promoted are going to write descriptions that are particularly helpful or meaningful in making merit pay raise decisions. As far as dealing with promotion matters, he feels that the kind of material called for in Item No. 1 is very relevant for the other faculty members, deans, administrators to use in assessing the information that can be gathered through, for example, student evaluations. He thinks the simple solution is to recognize that because it is useful information and would be helpful to the faculty member's promotion, that if it is made optional, the faculty members who are not fully promoted will do this as a matter of self-interest. He supports the amendment.

Professor Thomas Blues (English) stated that although the proposal suggested a degree of uniformity to make people accountable, there are ways to make people diverse within that uniformity. With reference to the fully promoted faculty members to be optional, that is not what is intended. The document suggests accountability across the board through the students and to set up an exempt group would defray the whole spirit of the proposal.

There was no objection to voting on the amendment. In a show of hands the amendment was defeated. In the second amendment under Item No. 2 to replace the words, "one paragraph" with the word short, the amendment was moved, seconded and in a hand count carried. Item 2 would then read:

"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."

In further discussion on the original motion as amended, Professor McMahon offered an amendment to delete "including department and/or college norms and rating scale" in Item No. 4 on page 2. It seems to him that the college and departmental statistical data is already in the possession of the administrator who will be making the decision and the phrase seems to be saying that every faculty member is responsible for making a copy of that information and putting it into their packet for the year. He was trying to eliminate the photocopying. Professor Davis stated that it was the committee's intent to make sure that the norms and the rating scale have a uniform approach across campus. He does not see that would be a problem. The Chairperson wanted to know if deleting "review or" would achieve the objective. Since that was not accepted, the Chairperson stated the material would be in the AR's for promotion and tenure but not for merit evaluation. The amendment was seconded. In comments on that amendment Professor Weil does not see why it is needed for promotion and tenure and wanted to know why that had to be the faculty member's responsibility. There were no further comments and the amendment carried in a voice vote. Professor Glenn Bloomquist (Economics) feels that the point is that while many departments do report that information in their files, in past not all have; he feels there is still some way that the information on norms would be in colleges and departments but not as part of the file. He thinks the distinction has been made between merit review

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annually and a promotion when it occurs and involves people outside the college. He argued to keep the phrase when it involves an area committee review for promotion.

Professor Davis stated that the committee's feeling is that this statement gives the people who are evaluating their colleagues material with some idea of where the information falls. Point of order was called and wanted to know if it was proper to have a discussion after the vote. The Chairperson ruled that the previous vote was indecisive. There was no more discussion and the amendment failed in a show of hands.

In further discussion of the total teaching portfolio as amended, Professor Moody suggested that the Senate as a body approve the proposal as amended because it has been discussed long and hard. It was brought to the Senate in the fall, an ad hoc committee has looked at it, and it is a tremendous step in the right direction. He feels it equalizes teaching and research, which is something the campus has not had except lip service for many, many years. He knows it is difficult to equate research and teaching, but everyone knows that research is more objective. To him, the proposal is a tremendous step forward, and he would like to see the Senate accept it.

Professor Chow wanted to know if it was too late for an amendment. He feels that teaching is very, very important, but he feels this is the wrong way to go. He does not feel the Senate should force itself to include this or that. He feels the key is where the dean or chancellor emphasizes teaching. He feels making the proposal mandatory is the wrong thing to do. He feels it would make the faculty spend a lot of time on the teaching portfolio. His amendment was to make everything optional. The amendment was seconded. The Chairperson stated that the amendment was to make all the required or suggested elements optional. Professor McMahon opposed the amendment because he does not feel that someone should have the option of including teaching materials only if they are a good teacher, if they have a substantial teaching responsibility. If they have a substantial teaching responsibility, the area committee should get a full and fair view of the individual's performance. Professor Chow totally agreed with Professor McMahon, but his objection is not to make the proposal so rigid.

The question was moved, seconded and passed to close debate on the amendment. In a show of hands the amendment to make everything optional failed.

The question on the motion was moved, seconded and carried. Motion to adopt the teaching portfolio as amended carried in a show of hands, and reads as follows:

Background:

The Ad Hoc Teaching Evaluation Committee (Tom Blues, Lynne Hall, Angene Wilson, and Joe Davis) has completed deliberations concerning changes in the Administrative Regulations related to evaluation of teaching for merit, tenure and promotion. The committee recommendations are based on the premise that teaching and advising, like research and service, relies on expertise that

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can and must be identified and evaluated. The teaching portfolio is a mechanism that faculty members can use to collect and maintain those materials. The portfolio contains a variety of materials that describe, explain, and assess teaching and advising. It serves as an instrument for review, evaluation, and improvement of teaching; and frees the faculty and administrators from total reliance on student evaluations.

#### RECOMMENDATIONS

The Committee recommends that the attached description be inserted at the appropriate place in the Administrative Regulations regarding the Criteria for Appointment, Promotion and Tenure decisions (AR II-1.0-1) for all persons (regardless of the title series under which they are appointed) who have teaching as part of their duties. This would require that any person having a teaching responsibility would be subject to these provisions.

It is also recommended that the same outline be inserted into the Administrative Regulations regarding Policies for Faculty Performance Review (AR II-1.0-5), [except that item 4. under "...items required for evaluation" should be modified as indicated below.] These materials should be inserted at the point where the text reads "The assessment of teaching shall include...". This part of the proposal is intended to strengthen the relationship between the annual performance review and the tenure and promotion decisions for those individuals involved in teaching and advising.

#### A. Areas of Activity

##### 1. Teaching and Student Relations

Teaching and advising, like other scholarly activities such as research and service, must be evaluated in annual and biennial reviews and in appointment, retention, promotion, and tenure. The results of this evaluation shall be considered in the decisions concerning retention, promotion, and merit ratings of each faculty member.

##### Teaching Evaluation

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. 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

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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--including department and/or college norms and rating scale--since the last review or promotion.

(Alternate form of item 4, for insertion into AR II-1.0-5)

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; evidence of learning by the 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.

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#### 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 advisees, 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.

The following items are suggested but not required:

1. Student evaluation of advising.
2. Evaluation of advising by unit colleagues or administrators.

The Chairperson announced that the Kentucky Advocates have their ACORN Award which includes something important--a \$5,000 honorarium. This is for an outstanding teacher for any Kentucky college or university. Anyone may nominate somebody for this. The teacher also will get a hand-carved plaque by the famous woodcarver from Berea, Warren May. Anyone who wants more information may contact the Senate Office.

The Chairperson recognized Professor John Piecoro for the next agenda item. Professor Piecoro, on behalf of the Senate Council, recommended approval of the proposed amendment to University Senate Rules, Section IV, Admission to the College of Education: Teacher Education Program. Professor Piecoro stated that the college is listing another information consideration for students applying to the College of Education: Teacher Education Program. (The proposal was circulated to members of the Senate under date of 31 March 1992.)

The floor was opened for questions. Professor Weil commented that in the rationale there is a statement that mentions the competency in oral skills in languages, performance skills in music, laboratory skills in science and that is the last place competency is mentioned so far as science and music goes. He wonders how much thought has been given into how one is going to test competency in laboratory skills. Professor Weil offered the following

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amendment for the rationale which goes into the Minutes and is used when codifying the Rules. In the first paragraph of the rationale in the fifth line after "art" to add laboratory parts of science. In the seventh line add or carry out a scientific lab demonstration or project after "foreign language."

Professor Kawanna Simpson (Education) feels that would be fine. She stated that the laboratory skills in science got added by the Senate committee. Professor Weil feels that is particularly relevant because KERA in sciences puts great emphasis on the students having laboratory skills. The Chairperson stated that those additions could be considered as an editorial change and part of the rationale.

There were no further comments. The proposed additions to the College of Education: Teacher Education Program as editorially changed unanimously passed and reads as follows:

Proposal: [Proposed additions underlined]

2.2.3 College of Education

A student must apply and be admitted to a Teacher Education Program in order to receive a teaching certificate. Applications are accepted for review by the Program Faculty from students who have completed, or will complete during the semester in which they apply, sixty semester hours of work, which must include EDP 202 completed with a grade of C or better. Program Faculties shall review applications and interviews, which shall be required of all students admitted, and recommend to the Dean of the College that an applicant be accepted, accepted provisionally, or rejected. A student's education advisor, academic advisor, and the Admission Coordinator also may make recommendations concerning the disposition of an application. Information considered during the review process shall include but not be limited to an applicant's:

1. Total academic record. A minimum, overall grade point average 2.5 is required for admission.  
(US:3/9/87)
2. Performance on required tests of skills in written and oral communication, reading, and mathematics. A demonstrated skill level equal to or greater than the minimum, acceptable level mandated by the State Department of Education is required for admission.
3. Record of preprofessional curricula experiences.
4. Commitment to the profession based on a realistic understanding of employment conditions and demands.
5. Proficiency in human relation skills.



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6. Recommendations from at least three persons familiar with the student's qualifications.
7. Willingness to help provide an adequate education for children and youth. (US: 12/5/83)
8. Demonstration of competencies relevant to content major and minor (i.e. test, portfolio, oral skills in languages, performance skills in music, laboratory skills in science, etc.)

Subsequent formal admission to student teaching is through a process separate from admission to the Teacher Education Program. Admission to the Teacher Education Program is not a guarantee of admission to student teaching and subsequent certification.

Rationale: The College of Education must have some method of ensuring competency before students are admitted to the Teacher Education Program. For most of the areas involved, i.e. Math, Science, Social Studies, etc., standardized written exams exist and adequately measure competency. The languages, art, laboratory parts of science and potentially music represent another problem. No written exam adequately measures the ability of an individual to perform music, produce art, or converse in a foreign language, or carry out a scientific lab demonstration. For foreign languages this is a particular problem since more contemporary methods of teaching involve immersing students in a "linguistic rich environment" where the foreign language is spoken constantly. If the prospective teacher cannot speak the language fluently, they are unable to adequately deal with this newer methodology. In addition if we allow one of our students to go out into a teaching environment without conversational competence we are not fulfilling our obligation as an educational institution.

The language programs, as currently structured, allow individuals to major or minor in a language and concentrate on areas other than conversation, i.e. culture, history, sociology, literature, etc. Students may have adequate course credits in a language without mastering conversation. In other cases they may have mastered conversation at some point in their education, but lost their proficiency with time. The Admissions and Academic Standards Committee did consider suggesting the College of Education work with the language departments on developing courses requiring conversational ability, and such courses become part of the program requirements. Unfortunately such a proposal requires time to develop and still does not solve the problem of a loss of competency with time.

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This proposal, adding demonstration of competency to the admission criteria, allows a check to ensure conversational competency at an appropriate time in the educational process. The conversational competency would be assessed by structured oral exams developed by the American Council on Teaching of Foreign Languages (ACTFL). Each of the groups affected, Spanish, French and German, have a staff member trained to administer and evaluate the examination. These individuals are part of the Teacher Education Program. The educational program is of such size that approximately 10 students per year are likely to be needing testing with this procedure, which is not a large burden. The procedure does not appear to be a problem and in fact the training of faculty to administer the ACTFL was financed by the College of Arts and Sciences.

For areas such as Art, portfolio evaluation is a standard procedure and is already being used.

The proposal has been reviewed by the Senate Admissions and Academic Standards Committee and the University Senate Council. Both recommend approval.

Implementation Date: Fall Semester, 1992.

Note: The proposal will be forwarded to the Rules Committee for codification.

The Chairperson recognized Professor John Piccoro for the next agenda item. Professor Piccoro, on behalf of the Senate Council, recommended adoption of the proposed amendment to University Senate Rules, Section IV, Proposed Honor Code: College of Dentistry. Professor Piccoro stated that the document had been reviewed a number of times. (This proposal was circulated to members of the Senate under date of 6 April 1992.)

The floor was opened for discussion. There were no questions or comments. In a voice vote on whether or not to adopt the Code of Professional Conduct for the College of Dentistry the motion unanimously passed and reads as follows:

POLICIES AND PROCEDURES  
CODE OF PROFESSIONAL AND ACADEMIC RESPONSIBILITY  
UNIVERSITY OF KENTUCKY      COLLEGE OF DENTISTRY

I. Introduction and Overview

This document describes the policies and procedures for the College of Dentistry Code of Professional and Academic Responsibility. All student dentists, postdoctoral students and faculty members are expected to abide by the

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Code. A College Code Committee determines guilt concerning reported student academic infractions of the Code. Penalties will be recommended and administered, where appropriate, by the Dean of the College, using University policies and procedures. Faculty infractions will be resolved by the department chairperson and the Dean using existing University policies and procedures.

## II. Student Participation

All students enrolled in courses for the DMD curriculum, graduate programs or postdoctoral residencies and fellowships offered by the College of Dentistry are bound by the Code. Enrollment in the College of Dentistry's programs is conditioned upon execution of an agreement to follow the Code.

## III. Intent and Scope of the Code

The Code is intended to engage student dentists, postdoctoral students and faculty in professional self-regulation, so that the College becomes a laboratory for reinforcing principles of ethics and professional responsibility. An important objective is preparation for professional practice. The Code is based on the concepts that integrity is an essential professional trait; and self-governance is an important professional responsibility. Thus responsibility will be vested with students to help them govern their own conduct. The Code includes all examinations, patient care and preclinical projects, independent assignments and extramural education activities carried out in the College, the Medical Center or at extramural education sites. Professional responsibilities described in documents approved by the University Senate and/or the Board of Trustees are also included:

- (1) Medical Center Health Sciences Student Professional Behavior Code (Effective June 19, 1984. Revision effective January 29, 1988)

This Code covers standards of professional practice drawn from the legislated practice acts of the professions with education programs in the Medical Center. These standards form the basis of expected professional conduct. Examples of unprofessional conduct are: any behavior or action that deceives, defrauds or harms the public and/or the profession; abuse of a controlled substance or drug; and chronic or persistent abuse of alcohol.

- (2) Student Rights and Responsibilities, University of Kentucky (Revised and published every August)

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These policies and procedures outline the University's expectations regarding academic offenses (plagiarism, cheating, and falsification or misuse of academic records) and non-academic disciplinary offenses. Examples include theft and lying.

Note: Section VI of the University Senate Rules includes all policies and procedures on student academic affairs, including those excerpts on academic offenses cited in Student Rights and Responsibilities.

(3) Policy Statement as Drug Free Institution (Effective August 1990)

This policy statement describes University policies regarding drugs and alcohol.

Faculty responsibilities are described in the Faculty Code (Section VII, University Senate Rules) and the University Policy on Ethical Standards and Misconduct in Research.

IV. Responsibilities of the College Code Committee

The College Code Committee will conduct hearings to determine the guilt of students charged with:

- \* the academic offenses of plagiarism, cheating, or falsification or misuse of academic records;
- \* infractions involving professional behavior that occur in conjunction with the curriculum, including extramural education sites;
- \* infractions for non-academic offenses that occur within the College or associated with the curriculum, including extramural sites.

For non-academic offenses and professional behavior infractions that occur external to the curriculum and the College, the College Code Committee shall communicate the reported infraction within three days to the Dean. These infractions will be addressed using College, Medical Center and University policies and procedures. Nothing contained herein will be construed to mandate waiver of any student rights granted by the Board of Trustees and the University Senate.

V. Penalties for Student Infractions

Penalties for students guilty of an infraction will be recommended and administered, where appropriate, by the Dean, using policies and procedures in the Health Sciences

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Student Professional Behavior Code, Student Rights and Responsibilities, the University Senate Rules and Drug Free Institution. Penalties and procedures are described in these documents. It is the responsibility of the Dean to inform the Registrar of the proceedings and the outcome according to Senate Rules VI - 6.4.9.

#### VI. Code Rules for Student Infractions

Rules of conduct and responsibility are essential for a profession and for the College to function harmoniously. Failure to deal with infractions or suspected infractions is also an infraction. To establish a successful Code system, individuals must assume personal responsibility and practice self-governance. The student and faculty responsibilities are:

##### A. Student Infractions: Student Identified

1. If a student suspects a Code infraction, he or she must choose one of three options:

##### Option One

The student speaks to the entire class, stating the nature of the suspected infraction without identifying individuals, and requests that the activity stop. This option warns anyone who may have placed her/himself in a compromising position.

##### Option Two

The student delivers a direct oral warning to the individual or individuals, pointing out the suspected Code infraction.

##### Option Three

The student reports a suspected infraction to a Code Committee member.

2. If a student has strong reason to conclude either by personal observation or by other convincing evidence that an infraction has occurred, then he/she must inform a Code Committee member.

##### B. Student Infraction: Faculty Identified

1. If a faculty member suspects a Code infraction, he or she must choose one of three options:

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Option One

The faculty member speaks to the entire class, stating the nature of the suspected infraction without identifying individuals, and requests that the activity stop. This option warns anyone who may have placed her/himself in a compromising position.

Option Two

The faculty member directly warns the individual or individuals, pointing out the suspected infraction.

Option Three

The faculty member reports a suspected infraction to a Code Committee member.

2. If a faculty member has strong reason to conclude either by personal observation or by other convincing evidence that an infraction has occurred, then he/she must inform a Code Committee member.

VII. Responsibilities of the College Code Committees

- A. To inform annually students and faculty about the College Code.
- B. To secure acknowledgment statements from new students and new faculty.
- C. To conduct hearings to determine guilt for student infractions as defined in Sections III., IV. and IX. of this document.
- D. To insure that due process is used in all student hearings.
- E. To report hearing actions, with supporting information, to the Dean.
- F. To review annually how the Code is working and recommend improvements.
- G. To submit an annual report of committee activities and recommendations to the Dean.

VIII. College Code Committee

This Committee administers the Code for all students enrolled in courses for the DMD curriculum, in graduate programs and/or all College postdoctoral residencies and fellowships.

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A. Composition

The College Code Committee will have 20 members:

Two representatives from each class of student dentists (8 representatives),

Eight postdoctoral student representatives,

Four faculty appointed by the Dean and College Council

A quorum of the Committee will be 10 members, including at least two faculty.

Student Dentist Representatives

The class president and vice-president will represent the first-year class. Thereafter, each class will annually elect their Committee representatives. Elections will be held in late spring for the following academic year. If a student committee member is charged with a Code infraction, a replacement representative will be randomly assigned from that individual's class by the Office of Student Affairs.

Postdoctoral Student Representatives

Each year, two representatives of each program will be randomly selected by the Office of Student Affairs from the graduate students, residents and fellows enrolled in four of these programs:

Pediatric Dentistry  
Periodontics  
Orthodontics  
Oral and Maxillofacial Surgery  
College Postdoctoral Fellowships  
Geriatric  
Orofacial Pain  
General Practice Residency

A rotation schedule will be established to distribute this responsibility among four of the six programs each year. If a postdoctoral representative is charged with a Code infraction, a replacement will be randomly assigned by the Office of Student Affairs from the postdoctoral student roster.

Faculty Representatives

Four members will be appointed by the Dean after recommendation of the College Council. Terms will be staggered, with two new members each year.

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B. Hearing Subcommittees

Student Dentist Hearing Subcommittee

Subcommittees will be used to conduct hearings for student dentist infractions. The subcommittee will consist of the eight student dentist representatives and the four faculty representatives.

Postdoctoral Student Hearing Subcommittee

The subcommittee for reported postdoctoral student infractions will consist of the eight postdoctoral student representatives and the four faculty representatives.

C. Committee Officers

The Committee will elect a student Hearing Officer for the Student Dentist Subcommittee from the student dentist representatives. A student Hearing Officer will be elected from the postdoctoral student representatives for the Postdoctoral Subcommittee. A secretary will be elected from the faculty representatives to work with both subcommittees. If a majority decision is not achieved, a random draw will be used by the members to determine these positions.

D. Quorum for Hearings

The quorum will be eight, including at least two faculty.

IX. Subcommittee Procedures

Staff support, record maintenance and procedures for hearings will be provided by the Office of Student Affairs. All information will be confidential.

A. Reported Infractions and Due Process

When an infraction is reported to a Code Committee member, he/she will immediately inform the Hearing Officer, who will call a subcommittee meeting to plan a student hearing with appropriate due process. At this planning meeting, the Subcommittee will:

1. clarify the infraction and the nature of the evidence.
2. review University policies, standards and rules that apply.
3. set a date and time for the student hearing.
4. review student hearing procedures.



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Following this meeting, the accused individual(s) will be informed of the charge with a written statement setting forth:

- (a) the reported infraction;
- (b) the identity of the party reporting the infraction;
- (c) the grounds or information provided by that party as the basis for reporting the infraction;
- (d) the University, Medical Center or College policies, standards or rules which are claimed to have been violated by the reported infraction
- (e) a listing of witnesses who may be needed to provide further information about the reported infraction;
- (f) the party's rights to be heard before an impartial committee;
- (g) the party's right to decline to give testimony, the exercise of which right shall not be considered evidence of guilt;
- (h) notification that the written statement is not a conclusion on the merits of the reported infraction;
- (i) the date and time for the student hearing;
- (j) the procedures to be used for the student hearing.

Except in extenuating circumstances (e.g., illness, University holidays, student and faculty breaks, acts of God), both the planning meeting and informing the accused student(s) should occur within seven days of the reported infraction.

B. Student Hearings

1. The Subcommittee will start hearings for the accused as soon as possible following the planning meeting. The hearing must be completed within 20 days after the student is informed with the written statement, except in extenuating circumstances (e.g., illness, University holidays, student and faculty breaks, acts of God).
2. The Hearing Officer will preside at the hearing. A quorum of at least eight must be present, including a minimum of two faculty members. At least these same eight members should be present for all the hearings on a given case.
3. A member of the Code Committee accused of an infraction will be disqualified as a member of that Subcommittee.

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4. The Subcommittee may request information from any source and will interview all parties involved.
5. A guilty verdict requires a majority vote of members who have been present for all the proceedings. A verdict of not guilty may be made either by an equal vote or a majority vote of members who have been present for all the proceedings.
6. If the student dentist or postdoctoral student is found guilty, the case is forwarded to the Dean, who will recommend and administer penalties, where appropriate, according to College, Graduate School, Medical Center and University policies and procedures. Penalties for graduate students will be assigned after consultation with the Dean of the Graduate School. If the student dentist or postdoctoral student is found not guilty in a hearing, the case is dismissed and all reference to the student will be deleted from the academic record and personnel file.

X. Provisions for Student Appeal

A student found guilty by the Code Committee will have all rights of appeal granted by University policies.

XI. Faculty Responsibilities

Faculty are full participants in the College Code. They are expected to be models of professional behavior. They have the following responsibilities besides those in the state practice act.

A. Course Responsibilities

Faculty must:

1. explain, at the beginning of every course, the type and amount of work a student should do on their own, without advice or assistance from anyone. These instructions must be included in the course syllabus.
2. state, orally or in writing, all general rules and directions for an examination or exercise. Special conditions about examinations should be attached in writing to the examination, e.g., where the test may be taken and how long the student has to take the examination. These conditions must define how questions will be addressed during the examination. The faculty member will have the option not to answer questions.

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3. help students avoid situations where Code violations may occur easily. At the discretion of the faculty, this includes using random pre-assigned seating and designated storage areas for notebooks and texts. Other provisions may be used based on class recommendations through their officers.
4. administer examinations in a manner consistent with the intent and spirit of the Code. Some examinations may require the presence of faculty during the entire examination or at predetermined intervals (for example, practical examinations). However, the intent is for faculty not to play a policing role during examinations by proctoring examinations.

B. University Code of Faculty Responsibility

Faculty are responsible for standards and procedures described in the Faculty Code (Senate Rules, Section VII).

C. Policy on Ethical Standards and Misconduct in Research

Faculty are responsible for appropriate conduct in scientific investigations. University administrative regulations contain procedures for handling allegations of scientific misconduct (Section AR II-4.0-2).

D. Policy on Drug Free Institution

Faculty are responsible for standards described in the University Policy on Drug Free Institution (August 1990).

XII. Code Rules: Student Reports of Faculty Infractions

Student reports of faculty infractions will be made according to University policies and procedures, including the opportunity for consultation and assistance, including mediation, from the University Ombud (Senate Rules, Sections VI & VII).

- A. If a student suspects a faculty member has committed an infraction, he or she must choose one of four options.

Option One

He or she discusses the suspected infraction directly with the faculty member.

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Option Two

He or she reports the suspected infraction to a College Code Committee member and requests that the committee discuss it, without identifying individuals, with the appropriate faculty.

Option Three

He or she reports the suspected infraction to a College Code Committee member with a request that the infraction be forwarded to the Chairperson of the academic department where the faculty member has his/her primary appointment.

Option Four

He or she reports the suspected infraction directly to the Chairperson of the academic department where the faculty member has his/her primary appointment.

- B. If a student has strong reason to conclude either by personal observation or by other convincing evidence that a faculty infraction has occurred, then he/she must report this infraction. The report can be made directly to the chairperson of the academic department where the faculty member has his/her primary appointment. A student may also seek the advice and support of a faculty member with whom he/she is familiar prior to reporting to the chairperson or to one of the following individuals.

Member, College Code Committee  
Course Director  
Head, Education  
Head, Patient Care  
Head, Research and Graduate Studies  
Head, Public and Professional Service  
Postdoctoral Program Director  
Dean, College of Dentistry

These individuals or the Secretary of the College Code Committee will immediately forward the report to the department chairperson.

**XIII. Code Rules: Faculty Report of Faculty Infractions**

- A. If a faculty member of the College suspects that a faculty member has committed an infraction, he or she must choose from one of three options.

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Option One

He or she discusses the suspected infraction directly with the faculty member.

Option Two

He or she reports the suspected infraction to a College Code Committee member and requests that the Committee discuss this, without identifying individuals, with the appropriate faculty.

Option Three

He or she reports the suspected infraction to the chairperson of the academic department where the faculty member has his/her primary appointment.

- B. If a faculty member has strong reason to conclude either by personal observation or by other convincing evidence that a faculty infraction has occurred, then he/she must report this infraction. The report can be made directly to the chairperson of the academic department where the faculty member has his/her primary appointment.

Individuals may also report an infraction to the following:

Member, College Code Committee  
Head, Education  
Head, Patient Care  
Head, Research and Graduate Studies  
Head, Public and Professional Service  
Postdoctoral Program Director  
Dean, College of Dentistry

These individuals will immediately forward the infraction to the Department Chairperson.

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Implementation: July 1, 1992.

The Chairperson recognized Professor John Piccoro for the next item on the agenda. Professor Piccoro, on behalf of the Senate Council, presented the final report for adoption from the ad hoc Committee on the Status of Women. He stated that the committee, appointed in November 1990, studied the status of women on campus and made specific recommendations. The Senate's action and the recommendations will be forwarded to the President. Professor Piccoro stated that the Senate has had the document for some time. (This report was circulated to the Senate under date of 25 March 1992.)

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The Chairperson reminded the Senate that the report for the Status of Women was received more than a year ago. At that time approximately 500 copies of the full document were distributed around campus, and a little later about 100 copies of the Executive Summary of the Recommendations were also distributed. The floor was opened for comments or questions about the recommendations.

Professor Donald Leigh (Engineering Mechanics) wanted to know what the explicit objectives in I. A-6 mean because he has trouble with it in regard to college deans. The statement reads: "Establish explicit objectives for the hiring of women for high-level administrative positions, including college deans." Dr. Susan Scollay, Associate Vice President for Research and Graduate Studies, commented that there are something like 17 college deans only two of which are women, and the committee's intention is that the University explicitly say that it will address this issue. Professor Leigh assumed that the recommendation did not mean that by a certain year there would be a certain number of women. He wanted to know if it would be enough to say "objectives" rather than "explicit"? Dr. Scollay stated that the committee would like to have "explicit" in the recommendation. Professor Leigh knows the committee wants the language to be explicit, but he thinks it can be interpreted as certain numbers to be done by a certain date.

Professor McMahon has a lot of problems with the whole document. He feels that Professor Leigh's comment indicates some of the problems. He stated that the document is in large measure a manifesto for preferential treatment in many cases. The most important things that bother him are items that relate to what he sees as the beginning of speech regulation. He thinks, for example, Item 16 on page three and Items 4 A-1 and 4 A-3 on page eight are the beginnings of an attempt to implement speech code on the campus. The Chancellor has been quoted that he does not think the University should be enacting speech codes. He feels that what is sexist and gender based stereo types are sometimes in the eyes of the beholder. He is particularly troubled by Item 16 on page three that states: "Expect all employees to actively engage in behavior that promotes equity and affirmative action for women....." He feels that what this is saying is that it will be grounds for denial of tenure or denial for promotion if a faculty member did not affirmatively take steps to promote "affirmative action for women." It does not seem to him that it is the business of the Senate to be telling every member of the University community that they not only ought not to hinder women, but they have to go out and become affirmative spokesmen for affirmative action for women. He feels this is going against free speech rights. He feels this could be interpreted by some to apply to what goes on in a classroom. It could be an interference with academic freedom. He made no effort to suggest amendments, but feels this is indicative of many things throughout the document and does not want to adopt the recommendations. He also feels the document calls for a tremendous expenditure and/or reallocation of resources.

A visitor feels that the recommendations are an effort for a greater awareness on the part of the committee. The fact that there is a problem at the University shows there is, no matter what the ideals are, a defacto lack of equity towards women. She feels the recommendations are a first step towards beginning a course for greater equity for women.

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Professor Kimberly Miller (Human Environmental Sciences) stated that her college had taken several steps after the reports on the Status of Women and Status of Minorities were received. First, there was an ad hoc committee that examined every one of the recommendations individually, and they were discussed at length as to whether or not that was a recommendation that could be addressed to the college level. The ad hoc committee studied the recommendations for a year. There was a college forum in which faculty, students and staff were invited. That forum reported a recommendation and even took steps to appoint a standing committee that consists of three faculty, staff and students. That is the committee Professor Miller chairs which is called the Status and Minorities Study Committee. They have begun to prioritize which recommendations they would like to implement. She believes that having such a committee and forum has raised awareness in the College of Human Environmental Sciences. They have made other recommendations such as examining college materials for sexism biases, such as materials sent out to prospective students. They also recommended a look at course titles that have pronouns that are not inclusive and suggested that within a faculty meeting a workshop will be held to speak to faculty actions. Professor Miller stated that several things have been done and she feels the time has been well spent and there has been no additional outlay of money because of the recommendations.

Professor Richard Ausness (Law) agrees with his colleague, Professor McMahon, and is very concerned about the political correctness aspect of the whole report. He is especially concerned about Item 16 on page three. He is not sure what "actively engage in behavior that promotes equity and affirmative action" is and would like to have someone tell him what it is. He is also concerned about the entire report and would at the moment vote against it. Professor Ausness moved to amend to delete Item 16 on page three. The amendment was seconded. Professor Weil offered an alternative amendment. He suggested that instead of removing the recommendation to reword it to read: "Expect all employees to avoid behavior which denies equity and affirmative action....." The Chairperson asked the women from the committee if that meets the objective of the original recommendation. Dr. Scollay feels it would and pointed out in terms of the second part of Item 16 that the President has mandated members of his cabinet to include hiring of women, also administrators, chancellors and vice presidents to do the same. It is not directed specifically to faculty.

The Chairperson stated that since the women's committee would agree to accept the alternative amendment that Professor Weil offered, he asked Professor Ausness if that satisfied his request to remove the item. Professor Ausness stated that it did not because he still does not know what they are talking about. He is troubled by the fact that the recommendation is not explicit. He would rather see the item deleted.

Professor David Durant (English) spoke against the amendment. He feels it is all too typical of the largely male body to say that only certain people should engage in affirmative action. He stated that the report was simply asking the faculty to engage in behavior that everyone knows is not characteristic of the University.

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Professor Bruce Eastwood (History) feels that for him there is a big difference between understanding and knowing what is the right decision to make on the recommendations. He comes from a department and in an area where twenty years ago there was a problem, but he does not think there is a problem now. It seems to him to be threatening simply because it does not relate to him. He does not see anything happening immediately, and wonders why the report is saying certain things. Professor Eastwood wants to hear more explanation making more specific what the problems are in certain areas, and he did not even understand the term "affirmative action" very well until a colleague referred him to a legal statement about the legal status of affirmative action. He feels there is a great deal of misunderstanding and not enough explanation yet to make an intelligent vote. He feels the vote would be politically and not intelligently made.

Dr. Scollay stated that the Senate Council appointed a committee to study the question of the status of women on campus. The committee did that and came up with the report. About a year ago the findings of the report were given to the Senate. She presented a copy to Professor Eastwood. He thanked Dr. Scollay and expressed his hope that everyone has had the opportunity to read the report. She added that there are many copies in the library. Professor Eastwood feels discussion is much better than going to the library. Dr. Scollay feels it is important to remember they are recommendations to the institution to use as a guide.

Question was called on the amendment to delete Item 16 on page three, seconded, and passed. In a show of hands, the amendment failed.

Professor Weil shares Professor McMahon's concerns and moved the rewording of Item 16 to read: "Expect all employees to avoid behavior that denies equity and affirmative action for women." The Chairperson asked if that would be accepted as a friendly amendment and editorial change. The amendment was accepted and no vote was taken.

In further discussion on the original document, Professor Frank Scott (Economics) stated that the point had been made that a number of the recommendations are not involving any real cost to the University. On page six there are a number of suggestions that involve a cost to the University; for example, on page six, Items B, 2, 5 d., 7, and 8. Professor Scott feels that one question that might be raised refers to the gender neutral issue. He does not feel anyone would want to argue that the recommendations can be argued without any cost to the University. He added that the benefits could be in the millions of dollars. He stated that if the University wanted to implement such a policy as "expand elder care benefits" it would be taking money from his pocket because his parents do not live in Lexington.

Professor Peter Bosomworth, Chancellor of the Medical Center, stated that the elder care program is one open to all employees of the University which serves all employees' beneficiaries anywhere in the United States. He added that there are gender specific issues identified in the report when one looks at the number of single parent women. He stated there is a cost to doing all the recommendations, but feels that the people who are trying to deal with the



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issue in its broadest sense, and he speaks for himself, recognize that and know there has to be a balance in terms of how responsibilities are discharged and the allocation of resources for all programs in the University. He feels the institution is committed to improving the status of women, and hopes the Senate will do something that is positive. Professor Bosomworth stated that he respects the general tone and direction of the report, and he takes it as an act of good faith on the part of the committee, that they will continue, along with others, to work with the administration to achieve many of the goals that are identified. [Professor Bosomworth was given a round of applause.]

Professor Ausness stated that once again he is concerned about the correctness of the issue and moved to delete Item A 1 on page eight because of the idea of all members of the academic community needing a program to eliminate sexism is something he does not care for because if people want to get involved, that is fine.

The Chairperson stated that Professor Ausness had moved to delete Item A 1 on page eight. The motion died for lack of a second.

The question was called, seconded and passed in a hand count.

The Chairperson stated that the Senate was voting on adopting the recommendations provided from the ad hoc committee on the Status of Women and to transmit them to the administration for implementation. The Chairperson pointed out that the administration has already implemented a great majority of the recommendations. President Wethington is planning to provide an update on the status of the ongoing effort. The motion carried overwhelmingly that the report and recommendations be adopted. The report as amended follows:

Background:

The ad hoc Committee on the Status of Women at the University of Kentucky had been appointed jointly by the University Senate Council and the University Administration. The report was received by the Senate Council 5 November 1990 and recommendations from the report have been examined in great detail by the Council over an extended period since that time.

The Senate Council adopted revised recommendations at its March 2, 1992 meeting with the recommendation that they be transmitted to the Senate for adoption by that body.

Therefore at this time the Senate Council is transmitting these recommendations to the Senate, with the recommendation that they be adopted by the Senate, and that that action and the recommendations be forwarded to the President. You will have noted that many of the original recommendations of the report had already been acted upon by President Wethington. The President's response, and the Administration's response, to these recommendations is an encouraging chapter in the University's march toward full equity for all members of our Community.

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RECOMMENDATIONS  
OF SENATE COUNCIL AD HOC COMMITTEE  
ON THE  
STATUS OF WOMEN EMPLOYED AT THE UNIVERSITY OF KENTUCKY

I. Eliminating Barriers to Women's Entry and Advancement

A. The University must demonstrate the seriousness of its commitment to the elimination of sexism and employment/advancement barriers for women by implementing an aggressive affirmative action effort. Accordingly, the University must:

1. Issue an official written Presidential response to these recommendations. All interested groups, including the Ad Hoc Committee on the Status of Women, should have an opportunity to reply formally to the President's response.
2. Establish, with the advice and consent of the Senate Council, a standing Presidential Commission on the Status of Women employees at the University of Kentucky. The Commission's purpose would be to regularly advise the President about issues, policies and practices that affect women faculty, administrators and staff. The group should be composed of faculty, staff and administrators who have expert knowledge about women and women's issues.
3. Disseminate an annual Presidential letter to all faculty, administrators and staff reaffirming UK's commitment to equality of opportunity and affirmative action for women and reporting on recent progress toward this end.
4. Include explicit objectives and measures concerning women's equality in UK's Strategic Plan, UK's Self Study, and all sector, college, department and program reviews.
5. Focus institutional resources on the recruitment and retention of women until the current institutional strategic goals are exceeded, especially in disciplines where women are underrepresented.
6. Establish explicit objectives for the hiring of women for high-level administrative positions, including college deans.
7. Implement, through the Affirmative Action Office (AAO), a centralized and systematic recruiting, coordination and tracking program which:
  - a. includes affirmative action statements aimed at women in all position advertisements;

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- b. informs all hiring units, search committees and individuals of affirmative action search and selection principles, guidelines and procedures;
  - c. provides written guidelines on prescribed standards for interviewing and behavior during the recruitment/hiring process;
  - d. requires gender-balanced candidate pools reflecting the average gender composition of the availability pool;
  - e. holds those responsible for searches and hiring accountable for gender equity in their decisions;
  - f. publishes annually the gender composition of the available candidate pools and the gender composition of actual hiring by unit; and,
  - g. provides current availability pool and statistics.
8. Include in the UK Governing and Administrative Regulations the specific responsibilities of the AAO and the affirmative action procedures involved in recruiting and hiring new faculty, administrators, and staff.
9. Direct search committees to consult with the AAO Director prior to inviting candidates for interviews when the short lists include a number of women below that indicated by their availability in the pool. If the committee feels it has exhausted all avenues and is unable to find additional women candidates appropriate to the position, then it must petition the appropriate Chancellor or Vice President to continue the interview process with an unrepresentative pool. If the extended search should result in an unfilled position, that line could not be lost and would be retained in the department and funded for the following academic year.
10. Establish a fund for targeted hiring, including such things as additional salary money and start-up support to be used specifically for hiring women in disciplines in which women are traditionally underrepresented. These opportunity-hires should include distinguished women scholars at high rank and promising women scholars at junior ranks. The funds should be distributed by the Chancellors/Vice Presidents.
11. Create a substantial number of loan lines to be used to increase the number of women faculty and ensure that these lines revert to the University-wide pool when vacated by a woman appointee.
12. Use campus groups such as Women's Studies and other nontraditional sources to assist in identifying women candidates for faculty and administrative/professional positions.

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13. Implement a University-wide system of incentives to facilitate the hiring and retention of dual career couples. Such incentives could include, but should not be limited to, shared positions for faculty and staff, central listing of all available positions, establishment of an office for dual-career couple assistance and temporary employment opportunities.

14. Increase the accessibility of information about staff employment at UK by charging the Personnel Office with:

a. Establishing community outreach sites where women can conveniently obtain information on employment opportunities, applications, and employment packets;

b. Targeting of areas in the community and media outlets to recruit women from the larger local community for staff positions; and,

c. Expanding Personnel Office hours to include lunch hour, evening and weekend hours.

15. Measure the success of programs and the performance of deans, directors and other administrators in part on the basis of their success in achieving institutional goals for recruiting and retaining women staff, administrators and faculty as well as their efforts to support a climate congenial to women.

16. Expect all employees to avoid behavior that denies equity and affirmative action for women. Assessment of such behavior should be a part of hiring, reappointment and promotion decisions, be specifically reflected on evaluation forms, and be reflected in merit salary decisions.

17. Decrease the barrier created by limited pools of available women faculty in specific disciplines by efforts which include, but are not limited to:

a. A pre-doctoral and post-doctoral program specifically targeted at women graduate students in disciplines in which women are underrepresented.

b. A consortium agreement with selected Ph.D. granting research institutions in the Southeast for the development of a Doctoral Incentive Forgivable Loan Program for women which focuses on fields which currently have an under representation of women faculty. Support would be in the form of competitive loans. The entire loan would be forgiven after a recipient teaches full-time at one of the participating institutions for five postdoctoral years. A loan recipient would not be obligated to accept a position in the consortium, and employment as a faculty member within the consortium would not be guaranteed; and,

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c. A study of women undergraduate and graduate students to identify institutional factors which impede or encourage non-traditional career choices and courses of study as well as making appropriate recommendations to eliminate any impediments.

18. Reach women as early as possible to help shape their career choices. Begin with a University directive to the Deans of the Colleges of Education and Human Environmental Sciences to examine and report in six months on the current status of their curricula for child care providers, school teachers, counselors and administrators that address:

a. The social pressures that restrict the perceived career options of girls and young women;

b. The skills needed to help girls and young women fully consider and prepare for a complete range of career choices;

c. The unintended, even unconscious, differences in treatment of girls and boys in the classroom and strategies to overcome those differences; and,

d. The elimination of negative educational materials and classroom practices that contribute to perceptions of gender differences in abilities and choices.

B. The University must implement a new personnel system for professional and hourly staff to demonstrate it respects and values diversity in the background, experience, and education of current and prospective employees. The system must be professionally designed by experts from outside of UK with experience in university personnel needs and must ensure gender-based equity in hiring, retention, and promotion. Such a system should:

1. Ensure position equivalencies, pay equity, and comparable worth for all employees;

2. Establish a method of classification of positions that is easily understood by all employees and is readily available to them;

3. Eliminate exceptions to pay scales for various positions and units;

4. Clearly articulate and disseminate all job criteria and their respective weights as well as procedures for hiring, promotion, job classification and reclassification;

5. Create guidelines establishing equitable institutional workload standards for similar jobs among units;

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6. Recognize all prior service, experience or education in making initial employment, job mobility, and grade/rank decisions;

7. Develop functional definitions and measures of supervisory experience to facilitate job mobility;

8. Eliminate financial impediments which inhibit long-term employees from transferring or moving into higher positions;

9. Implement a performance evaluation process which:

a. Ensures flexibility to effectively evaluate the diversity of positions and levels of responsibility,

b. Ensures consistency of assessment among positions and across units; and,

c. Ensures equity in performance assessment regardless of gender, marital status, family situation or other non-merit related characteristics of the employee.

10. Redefine the responsibilities of the Personnel Department so that:

a. The Personnel Department in internal promotions and transfers only screens candidates to determine if they meet minimal qualifications and does not act as a "gatekeeper" which independently determines if the file of a qualified, potential candidate should be forwarded to the hiring unit; and,

b. The Personnel Department tracks internal promotions and transfers. It should be required to disseminate annual reports, by gender, of the number of internal applications for promotions and transfers and their outcomes; and,

11. Require the Staff Council review and evaluate the appeals procedure for non-gender related grievances of staff.

II. Ensuring Equitable Compensation And Rewards For Women

A. The University of Kentucky must provide just and equitable compensation and financial incentives to all employees, regardless of gender or family status or other non-merit factors. At a minimum, the University must:

1. Establish pay scales for all positions that are competitive with salary and wage levels in the larger community;

2. Offer equitable starting salaries to women and men. In part, this would require that when negotiating entry salaries information about negotiable items, such as salary, moving expenses, prior experience credit toward tenure and deadlines for

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completion of degree be made available to all finalists regardless of gender;

3. Negotiate hiring agreements that are appropriate and gender equitable within departments regarding items such as provision or equipment (office and laboratory), space and other facilities, distribution of effort and start-up funds for research;

4. Undertake a multivariate analysis for gender, race and age bias in wages and salaries of all University System employees;

5. Investigate and remedy inequitably depressed levels of compensation and status of women in units whose faculties or other professional employees are predominantly women;

6. Continue to define and fund merit salary pools to include all full and part-time permanent employees;

7. Link merit increases to evaluation ratings and ensure consistency within and across units; and,

8. Establish a process which permits the award of equitable merit compensation increases to outstanding employees in small employing units.

B. The University has an obligation to provide benefits which meet the needs of ALL personnel and address the different family responsibilities of employees. To best meet those obligations, the benefit structure should address the following concerns:

1. Extend all benefits on a pro rata basis to permanent employees working part-time;

2. Include an institutional childbirth/family care leave policy which permits eight weeks of paid childbearing/adoption leave which is separate and distinct from earned disability and vacation leave. In addition, the University should allow four additional weeks of paid leave through the use of earned disability and/or vacation leave or leave without pay as determined by the employee;

3. Establish a sliding scale of University contributions to employees' health insurance based on salary that ensures access to family health insurance for all;

4. Equalize the University's percentage contribution for retirement benefits for all employee groups;

5. Include a coordinated institutional child care policy which:

a. Allows employees to pay for child care with pre-tax dollars;

b. Expands the number of on-site day care slots;

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- c. Includes drop-in and sick child care; and,
- d. Establishes a child care voucher subsidy for use at UK-contracted centers;
- 6. Offer employees the option of applying tuition credit to non-credit and technical training within the University;
- 7. Offer employees the option to transfer tuition credit to immediate family members; and,
- 8. Expand elder care benefits, in addition to those available through the Sanders-Brown Center on Aging, to include subsidized adult day care, access to overnight respite care and home health services with priority for all UK employees.

III. Promoting Development And Utilization Of Women Employees

A. To demonstrate commitment to providing opportunities for job development and career advancement for women, the University must:

- 1. Expand the Human Resource Services Department responsibilities to include:
  - a. Providing guidelines for supervisors to help them identify potential women leaders within the staff community in order to recommend them for future service and involvement on the staff council, administrative committees and other special assignments and programs;
  - b. Providing training and internships in administration and management for potential women leaders; and,
  - c. Establishing a continuing education program in personnel management for all faculty and staff supervisors, which requires demonstrated competence in areas which include, but are not limited to: affirmative action, development of women employees' leadership skills and other talents, procedures and techniques for recruitment and hiring of women, and institutional values related to the creation of an equitable and congenial climate for women;
- 2. Strengthen, diversify and publicize on-the-job training programs by:
  - a. Providing institutional apprenticeship programs for women employees in a structured setting to enhance work skills as a prelude to job mobility, particularly in traditionally male occupations and position areas;
  - b. Implementing an institutional policy to provide access to job training programs by ensuring paid release time for a specific number of training/development programs within each calendar year; and,



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c. Establish a systematic way to acknowledge the personal investment of staff in training and/or educational improvement efforts;

3. Strengthen leadership skills in women faculty and staff by:

a. Sponsoring a leadership institute for women as an investment in the next generation of leaders. Designed by a small group, including representatives from the Ad Hoc Committee on the Status of Women, such a program should provide intensive instruction with an individualized program of study and mentoring for selected faculty and staff. Special emphasis is needed to ensure participation by women of color; and,

b. Offering career counseling and leadership seminars for women staff who would like to develop progressive career plans and/or to expand their interests in leadership positions; and,

4. Require systematic analysis and reporting of data gained in exit interviews to determine why women leave UK. Such interviews should be conducted by designated persons outside the employing unit.

B. To remedy the present paucity of women in positions of institutional decision-making, the University must:

1. Establish internally funded administrative internships for women to increase the number of women prepared for such roles; and,

2. Significantly increase the number of women in the highest administrative leadership positions (e.g., Vice-presidents, Chancellors, Vice-chancellors, deans) by actively recruiting and promoting women candidates.

C. To ensure the full inclusion of women in the decision-making process, the University must:

1. Require representation of women on all policy-making bodies such as the President's Cabinet and require women on search committees at least in proportion to the percentage of women in the relevant pool. In all instances there will be at least one woman member; and,

2. Revise the structure of University governance to ensure representation of women staff:

a. Through an elected staff representative to membership on the Board of Trustees; and,

b. Through an elected, representative, university-wide, council where staff members have a voice in the establishment of policies and procedures that govern them.

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IV. Creating A Hospitable Climate For Women

A. In order to establish a climate of institutional support and respect for women which permeates all levels and segments of the institution, the following actions must be undertaken at the highest levels:

1. Design and implement a comprehensive educational program for all University personnel to eliminate sexism, including sexist language, in the workplace. Such an effort would include education of all academic and nonacademic supervisory personnel on institutional policies against sexism;

2. Provide an incentive fund to support projects and professional activities designed to identify and eradicate sexism at the University, college, department or unit level;

3. Remove all sexist language and gender-based stereotypes from all UK publications and communications and implement review mechanisms to ensure balanced representation and appropriate portrayal of women in future publications, documents, and communications;

4. Develop and distribute an institutional handbook that includes an operational definition of sexism and specific information about rights, sexual harassment, grievance procedures, and institutional sanctions against sexism or sexual harassment; and,

B. In order to establish mechanisms for increasing recognition and support of women scholars, the University must:

1. Give active support to new scholarship on women, gender, the family and areas of study traditionally identified with women. These areas must be given qualitative weight equal to that given to traditional scholarship in evaluation for professional advancement;

2. Institute a Curriculum Transformation Project which provides summer support to interested faculty members who want the opportunity to explore ways to incorporate new scholarship on women into the curriculum;

3. Provide financial incentives for appropriate departments to develop courses on women that will be taught on a regular basis and revise existing courses;

4. Provide support for the Women's Studies program (including half-time director and adequate staff support) comparable to that provided for similar curricular programs;

5. Establish an interdisciplinary institute for research on women and gender;

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6. Invite more visiting women scholars to campus, particularly in disciplines where women are underrepresented, and provide supplementary funds to departments and colleges which do bring in such visitors;

7. Establish specific goals for the development of endowed chairs and professorships for scholarship on women and gender;

8. Increase the number of conferences, art collections, exhibits and performances at UK that reflect the contributions of women;

9. Recognize scholarly and professional achievements of women by equitably awarding honorary degrees and research grants as well as research and teaching awards;

10. Establish mechanisms to provide public recognition and monetary awards for women staff who excel in the quality of their service to the University; and,

11. Provide funding for a series of specialized, focused, in-depth studies to investigate issues inhibiting women's success within the University community which were discovered through the work of the Ad Hoc Committee on the Status of Women.

V. Increasing Institutional Self-Knowledge And Awareness About The Status Of Women

A. Efforts must be made to broaden and improve the institution's knowledge and awareness of its own behavior relative to hiring, retention, promotion, and compensation of women at UK. Accordingly, the University must:

1. Develop a centralized, comprehensive, accurate, and open employee data base to permit analysis of trends and patterns in employment, retention, promotion, and compensation of UK employees by gender and other demographic characteristics;

2. Disseminate annual reports showing the degree to which each unit has complied with the University's institutional equity commitments to women;

3. Develop and disseminate to all employees the procedures for accessing information on employment, retention, promotion and compensation of employees of UK;

4. Establish a mechanism for conducting institution-wide research on trends and patterns in the employment, retention, promotion, and compensation of all employees at UK by gender and other demographic characteristics;

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5. Conduct hiring audits and annual affirmative action reviews to monitor hiring and retention in all units;

6. Provide every dean and unit head with an annual analysis of salaries, promotions, hires and retention rates by relevant factors including gender prior to the annual salary-setting process. Individual gender-based inequities in compensation revealed by the analysis must be resolved in that year's salary-setting process from the unit's salary raise pool;

7. Develop and implement a system of monitoring and annually reporting on the distribution of sabbaticals, travel funds, equipment, research support, clerical help, space, research assistants, and work-study help to assure that they are equitably distributed among women and men on the faculty;

8. Direct the Graduate School, Undergraduate Admissions Office, Financial Aid Office, and academic departments to audit annually and report their admissions and financial aid awards by gender and discipline to assure nondiscriminatory practices; and,

9. Issue an annual Personnel Procedures Report which reviews and monitors recruitment, hiring merit evaluations, promotions, and termination of staff by levels, job categories and gender.

B. Women employees' participation in the implementation, monitoring, an oversight of an aggressive, university-wide, affirmative action effort must be maximized through reorganization of the Equal Opportunity Panel (ARIII8.4-1) in the following ways:

1. The Equal Opportunity Panel will report directly to the President;

2. The Equal Opportunity Panel shall have representation from each of the employee pools as well as students. Faculty representatives will be recommended by the Senate Council and representatives of the administrative/professional and hourly staff will be recommended by committees representing these employee groups. Student representatives will be recommended by the Student Government Association; and,

3. The Equal Opportunity Panel will receive and review annual status and progress reports on women employees from the Affirmative Action Office and will make recommendations for further action to each sector Chancellor/Vice President and to the President.

C. The University must provide adequate funding to expand and reorganize the Affirmative Action Office, creating two separate, but related, functions which are:

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1. Education, Monitoring and Reporting. This function includes the development and dissemination of affirmative action guidelines related to recruitment and hiring; articulation of the values and goals of the University; gathering, analyzing, and reporting data; recommending needed programs and policies; and ensuring affirmative action guidelines are followed; and,
2. Enforcement. This function includes hearing complaints of faculty and staff who are victims of sexual discrimination using a formal hearing grievance mechanism and recommending to the President sanctions.

The Chairperson recognized Professor John Piecoro for the last agenda item. Professor Piecoro, on behalf of the Senate Council, recommended adopting the report from the ad hoc Committee on the Status of Minorities. Professor Piecoro stated that many of the items listed in the recommendations are pretty much the same as in the women's report. (The report was circulated to members of the Senate under date of 7 April 1992.)

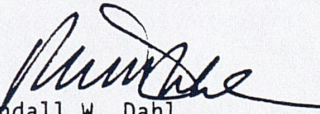
The floor was opened for discussion. Professor Scott stated that in weighing the two documents it seems that the committee on the minorities report ought to go back to work and come up with a document that has more to it than the one presented. He added that the report is very general, and he is disappointed that the committee did not come up with more recommendations and in his perception there should be more interest in this report than the one on women.

Professor Weil pointed out that some of the Senators had not received the report or the one on the Honor Code for Dentistry.

Motion was moved, seconded and passed to postpone until the next meeting.

The Chairperson reminded the Senate of the meeting on April 27 and said there are many important issues to come forward.

The Chairperson adjourned the meeting at 4:45 p.m.

  
Randall W. Dahl  
Secretary, University Senate

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ISSUES AFFECTING HIGHER EDUCATION - LEGISLATIVE ACTS

Boards of Trustees Reconstitution

This new law means that we will have a new Board of Trustees, save that all elected members, the three faculty members and one student member, continue as before. The appointed members probably will be half taken from members serving now, and half newly appointed through a screening process. A statewide committee currently is preparing nominees for the Governor's consideration in making appointments. The new Board will take office July 1, or as soon after that as members are appointed.

The new Boards should be oriented to their tasks at each institution of higher education through a process which includes faculty involvement. Presumably this would take place some time during Fall, 1992.

Assessment and Accountability

This law specifies quite a few measures of assessment of the University as a whole, for which the University is accountable. This law impacts us little, first because most of these measures are already being reported to the Council on Higher Education (CHE), and secondly the CHE had already, well before this legislative session, been preparing to strengthen and broaden assessment activities. We also had discovered that to meet the new accountability requirements of the Southern Association of Colleges and Secondary Schools (SACS) strengthened assessment processes were necessary. The law requires:

Total student credit hours by institution and discipline

Total number of degrees, same breakdown.

Total number of contact hours of instruction by faculty, rank of faculty, institution, and course level.

Faculty hours spent in: instruction, course preparation, other student contact, research, and public service.

Pass rates on professional licensure exams.

Institutional quality from surveys of alumni, parents, clients, and employers (I think this is new).

Length of time and number of credits required to complete each degree.

Enrollment, persistence, retention, and graduation rates by discipline, race, gender, and disability.

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student course demand analysis.

classroom utilization

research and public service activities, including those directed to KERA.

Number and percentage of programs accredited, and the number and percentage eligible for accreditation.

percent and number enrolled in remedial courses

number of full time students who have transferred from a two-year institution and the number of these students successfully completing a four year program.

The CHE will report to the Governor and Legislative Research Commission.

#### Open Records

This law stipulates that University employees, previously judged not to be state employees, are in fact state employees for the purposes of open records. State employees have open access to their personnel files.

The impact for us is that from now on all documents in the faculty/staff member's Standard Personnel File (being defined in AR II-1.0-1) and in the dossier, when prepared for actions on change of status or new appointments, will be open to the faculty/staff member affected. This includes all peer evaluation letters solicited from within or outside of the University. This means little change for "outside" letters, since for several years such evaluators have been advised that their letters may be open to the candidate being reviewed. Now "inside" letters will also be subject to review by affected members. The effective date for this act is July 1, 1992, I believe.

#### Open Meetings

The impact of this new law comes from its interaction with the State Archives and Library Act, which is not a new act. All units will have to operate generally within their written procedures. These procedures will be on file in college offices for departments/centers/institutes and in chancellors' offices and at the University Senate Council Office for colleges. Minutes of departments or other organized units of the University must be kept, complete enough to indicate all significant actions taken by the unit or changes in bylaws or operating procedures. All such meetings are open except those announced in advance to be dealing with personnel matters, or

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some other special issues for which closed meetings are allowed. Different types of records must be kept for different periods of years. Exempted from open records are private communications, preliminary drafts or notes, tests, exams, keys, or other examination materials, and any other private records. With respect to public records which must be kept, one member of the legal staff advises "throw nothing away". When records are too cumbersome and no longer useful to the unit, send them to storage.

#### Open Records/Open Meetings and Written Procedures

The arrival of this legislation makes the importance of the President's call for updating written operating procedures of each unit highly important, since records must be able to show that actions taken are in accord with those procedures. The President's February 7 memorandum called for these procedures to be in place by May 30, 1992.

#### Common Course Numbers

A joint resolution appoints a task force to look into the feasibility of establishing common course numbers (and implicitly content equivalency) for some undergraduate courses of two year institutions, four year institutions, and universities. These courses would then be automatically transferable from one institution to another. Also identified would be the set of courses at each institution which could not have equivalent courses at other institutions -- which would certainly be outside the common course number set. The task force will have one member from each separate institution plus one representative of the Community College System and be led by a staff member of CHE. The task force is to complete its feasibility study by November, 1993 and report to the Legislative Research Commission.

(These are the direct impacts of legislation passed in the 1992 session. Offered in this summary are opinions from reading the legislation and discussing them briefly with several attorneys. But these observations do not have the authority of legal opinions -- when substantive issues arise, the legal office should be consulted for a properly informed opinion).

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UNIVERSITY OF KENTUCKY

LEXINGTON, KENTUCKY 40506-0032

UNIVERSITY SENATE COUNCIL  
10 ADMINISTRATION BUILDING

6 April 1992

TO: Members, University Senate

FROM: University Senate Council

RE: AGENDA ITEM: University Senate meeting, Monday, April 13, 1992. Proposed amendment to University Senate Rules, Section IV, Proposed Honor Code: College of Dentistry.

**Background and Rationale:**

Upon approval by the College of Dentistry, the Dentistry Honor Code was reviewed by the Senate Committee on Admissions and Academic Standards. As part of that review process, input was requested from the University Legal Counsel and the current University Ombud. Where appropriate, recommendations from both were incorporated into the Committee's report. In addition the Committee reviewed 1) the recommendations from the 1990-91 Admissions and Academic Standards Committee relative to the Code, including comments from then University Ombud Dr. Gretchen LaGodna, 2) the current Senate Rules on cheating and plagiarism, 3) the Student Rights and Responsibilities booklet, and, 4) the Health Sciences Student Behavior Code. Dr. Raynor Mullins from the College of Dentistry met with the Committee to discuss their proposal.

The Committee on Admissions and Academic Standards believes the College of Dentistry has made a good argument for the initiation and participation of students in the management and disposition of cheating and plagiarism. Such activity is part of the learning and professionalization process that must take place. Unfortunately the current Senate procedures for handling cheating and plagiarism make no provision for student initiation or participation. The implementation of an Honor Code is the only mechanism currently available to obtain this participation.

The Dentistry Honor Code is one of several being proposed. While the Committee recognizes that a proliferation of different Codes may be confusing and a uniform template of procedures and wording may be more desirable, few colleges have sufficient experience to allow development of a uniform template. The suggested procedure [see NOTE, page 2] to allow colleges to adopt different Codes, gain experiences with the Codes, and, after some years of experience, meet to compare experiences and develop a uniform template makes much more sense than recommending a uniform template at this time.

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US Agenda Item: Dentistry Honor Code  
6 April 1992

The Committee also feels the overall concept of students being honorable and operating under a student governed honor code is desirable for the entire campus. Whether such a system may be practical for the entire campus community remains to be seen. Students in the colleges submitting Codes [Dentistry, Medicine, Law] tend to be more mature. They are in classes together for a number of years and represent a smaller, more tightly knit group than students in other programs. These students usually know each other fairly well, and because they take almost all of their coursework in one college, should be influenced by the philosophy and principles of that college to a greater extent than students in other majors. Because of this the Committee feels Honor Codes are more likely to be successful in the professional schools.

The attached proposal is recommended for adoption by the Senate Committee on Admissions and Academic Standards and the University Senate Council.

\*\*\*\*\*

Implementation Date: July 1, 1992.

NOTE: This Code will be approved from the period July 1, 1992 to June 30, 1996. During the 1995-96 academic year, all colleges with Honor Codes will meet with the Senate Admissions and Academic Standards Committee to review their experiences with their Codes, discuss the strengths and weaknesses of their Codes and propose common wording and methods of procedure. If it becomes apparent that common wording is not appropriate and workable then a justification for individual Codes shall be formulated and the individual proposals resubmitted. One person or group from each college shall be appointed by the college now to follow the working of the Code and be responsible for reporting in 1995-96.

Attachment

5510C

DRAFT: 4/6/92

POLICIES AND PROCEDURES  
CODE OF PROFESSIONAL AND ACADEMIC RESPONSIBILITY  
UNIVERSITY OF KENTUCKY      COLLEGE OF DENTISTRY

I.      Introduction and Overview

This document describes the policies and procedures for the College of Dentistry Code of Professional and Academic Responsibility. All student dentists, postdoctoral students and faculty members are expected to abide by the Code. A College Code Committee determines guilt concerning reported student academic infractions of the Code. Penalties will be recommended and administered, where appropriate, by the Dean of the College, using University policies and procedures. Faculty infractions will be resolved by the department chairperson and the Dean using existing University policies and procedures.

II.     Student Participation

All students enrolled in courses for the DMD curriculum, graduate programs or postdoctoral residencies and fellowships offered by the College of Dentistry are bound by the Code. Enrollment in the College of Dentistry's programs is conditioned upon execution of an agreement to follow the Code.

III.    Intent and Scope of the Code

The Code is intended to engage student dentists, postdoctoral students and faculty in professional self-regulation, so that the College becomes a laboratory for reinforcing principles of ethics and professional responsibility. An important objective is preparation for professional practice. The Code is based on the concepts that integrity is an essential professional trait; and self-governance is an important professional responsibility. Thus responsibility will be vested with students to help them govern their own conduct. The Code includes all examinations, patient care and preclinical projects, independent assignments and extramural education activities carried out in the College, the Medical Center or at extramural education sites. Professional responsibilities described in documents approved by the University Senate and/or the Board of Trustees are also included:

- (1) Medical Center Health Sciences Student Professional Behavior Code (Effective June 19, 1984. Revision effective January 29, 1988)

This Code covers standards of professional practice drawn from the legislated practice acts of the professions with education programs in the Medical Center. These standards

form the basis of expected professional conduct. Examples of unprofessional conduct are: any behavior or action that deceives, defrauds or harms the public and/or the profession; abuse of a controlled substance or drug; and chronic or persistent abuse of alcohol.

(2) Student Rights and Responsibilities, University of Kentucky (Revised and published every August)

These policies and procedures outline the University's expectations regarding academic offenses (plagiarism, cheating, and falsification or misuse of academic records) and non-academic disciplinary offenses. Examples include theft and lying.

Note: Section VI of the University Senate Rules includes all policies and procedures on student academic affairs, including those excerpts on academic offenses cited in Student Rights and Responsibilities.

(3) Policy Statement as Drug Free Institution (Effective August 1990)

This policy statement describes University policies regarding drugs and alcohol.

Faculty responsibilities are described in the Faculty Code (Section VII, University Senate Rules) and the University Policy on Ethical Standards and Misconduct in Research.

IV. **Responsibilities of the College Code Committee**

The College Code Committee will conduct hearings to determine the guilt of students charged with:

- \* the academic offenses of plagiarism, cheating, or falsification or misuse of academic records;
- \* infractions involving professional behavior that occur in conjunction with the curriculum, including extramural education sites;
- \* infractions for non-academic offenses that occur within the College or associated with the curriculum, including extramural sites.

For non-academic offenses and professional behavior infractions that occur external to the curriculum and the College, the College Code Committee shall communicate the reported infraction within three days to the Dean. These infractions will be addressed using College, Medical Center and University policies and procedures. Nothing contained herein will be

construed to mandate waiver of any student rights granted by the Board of Trustees and the University Senate.

V. Penalties for Student Infractions

Penalties for students guilty of an infraction will be recommended and administered, where appropriate, by the Dean, using policies and procedures in the Health Sciences Student Professional Behavior Code, Student Rights and Responsibilities, the University Senate Rules and Drug Free Institution. Penalties and procedures are described in these documents. It is the responsibility of the Dean to inform the Registrar of the proceedings and the outcome according to Senate Rules VI - 6.4.9.

VI. Code Rules for Student Infractions

Rules of conduct and responsibility are essential for a profession and for the College to function harmoniously. Failure to deal with infractions or suspected infractions is also an infraction. To establish a successful Code system, individuals must assume personal responsibility and practice self-governance. The student and faculty responsibilities are:

A. Student Infractions: Student Identified

1. If a student suspects a Code infraction, he or she must choose one of three options:

Option One

The student speaks to the entire class, stating the nature of the suspected infraction without identifying individuals, and requests that the activity stop. This option warns anyone who may have placed her/himself in a compromising position.

Option Two

The student delivers a direct oral warning to the individual or individuals, pointing out the suspected Code infraction.

Option Three

The student reports a suspected infraction to a Code Committee member.

2. If a student has strong reason to conclude either by personal observation or by other convincing evidence that an infraction has occurred, then he/she must inform a Code Committee member.

B. Student Infraction: Faculty Identified

1. If a faculty member suspects a Code infraction, he or she must choose one of three options:

Option One

The faculty member speaks to the entire class, stating the nature of the suspected infraction without identifying individuals, and requests that the activity stop. This option warns anyone who may have placed her/himself in a compromising position.

Option Two

The faculty member directly warns the individual or individuals, pointing out the suspected infraction.

Option Three

The faculty member reports a suspected infraction to a Code Committee member.

2. If a faculty member has strong reason to conclude either by personal observation or by other convincing evidence that an infraction has occurred, then he/she must inform a Code Committee member.

VII. Responsibilities of the College Code Committees

- A. To inform annually students and faculty about the College Code.
- B. To secure acknowledgment statements from new students and new faculty.
- C. To conduct hearings to determine guilt for student infractions as defined in Sections III., IV. and IX. of this document.
- D. To insure that due process is used in all student hearings.
- E. To report hearing actions, with supporting information, to the Dean.
- F. To review annually how the Code is working and recommend improvements.
- G. To submit an annual report of committee activities and recommendations to the Dean.

VIII. College Code Committee

This Committee administers the Code for all students enrolled in courses for the DMD curriculum, in graduate programs and/or all College postdoctoral residencies and fellowships.

A. Composition

The College Code Committee will have 20 members:

Two representatives from each class of student dentists (8 representatives),  
Eight postdoctoral student representatives,  
Four faculty appointed by the Dean and College Council  
A quorum of the Committee will be 10 members, including at least two faculty.

Student Dentist Representatives

The class president and vice-president will represent the first-year class. Thereafter, each class will annually elect their Committee representatives. Elections will be held in late spring for the following academic year. If a student committee member is charged with a Code infraction, a replacement representative will be randomly assigned from that individual's class by the Office of Student Affairs.

Postdoctoral Student Representatives

Each year, two representatives of each program will be randomly selected by the Office of Student Affairs from the graduate students, residents and fellows enrolled in four of these programs:

Pediatric Dentistry  
Periodontics  
Orthodontics  
Oral and Maxillofacial Surgery  
College Postdoctoral Fellowships  
Geriatric  
Orofacial Pain  
General Practice Residency

A rotation schedule will be established to distribute this responsibility among four of the six programs each year. If a postdoctoral representative is charged with a Code infraction, a replacement will be randomly assigned by the Office of Student Affairs from the postdoctoral student roster.

Faculty Representatives

Four members will be appointed by the Dean after recommendation of the College Council. Terms will be staggered, with two new members each year.

B. Hearing Subcommittees

Student Dentist Hearing Subcommittee

Subcommittees will be used to conduct hearings for student dentist infractions. The subcommittee will consist of the eight student dentist representatives and the four faculty representatives.

Postdoctoral Student Hearing Subcommittee

The subcommittee for reported postdoctoral student infractions will consist of the eight postdoctoral student representatives and the four faculty representatives.

C. Committee Officers

The Committee will elect a student Hearing Officer for the Student Dentist Subcommittee from the student dentist representatives. A student Hearing Officer will be elected from the postdoctoral student representatives for the Postdoctoral Subcommittee. A secretary will be elected from the faculty representatives to work with both subcommittees. If a majority decision is not achieved, a random draw will be used by the members to determine these positions.

D. Quorum for Hearings

The quorum will be eight, including at least two faculty.

IX. Subcommittee Procedures

Staff support, record maintenance and procedures for hearings will be provided by the Office of Student Affairs. All information will be confidential.

A. Reported Infractions and Due Process

When an infraction is reported to a Code Committee member, he/she will immediately inform the Hearing Officer, who will call a subcommittee meeting to plan a student hearing with appropriate due process. At this planning meeting, the Subcommittee will:

1. clarify the infraction and the nature of the evidence.
2. review University policies, standards and rules that apply.
3. set a date and time for the student hearing.
4. review student hearing procedures.



Following this meeting, the accused individual(s) will be informed of the charge with a written statement setting forth:

- (a) the reported infraction;
- (b) the identity of the party reporting the infraction;
- (c) the grounds or information provided by that party as the basis for reporting the infraction;
- (d) the University, Medical Center or College policies, standards or rules which are claimed to have been violated by the reported infraction;
- (e) a listing of witnesses who may be needed to provide further information about the reported infraction;
- (f) the party's rights to be heard before an impartial committee;
- (g) the party's right to decline to give testimony, the exercise of which right shall not be considered evidence of guilt;
- (h) notification that the written statement is not a conclusion on the merits of the reported infraction;
- (i) the date and time for the student hearing;
- (j) the procedures to be used for the student hearing.

Except in extenuating circumstances (e.g., illness, University holidays, student and faculty breaks, acts of God), both the planning meeting and informing the accused student(s) should occur within seven days of the reported infraction.

B. Student Hearings

1. The Subcommittee will start hearings for the accused as soon as possible following the planning meeting. The hearing must be completed within 20 days after the student is informed with the written statement, except in extenuating circumstances (e.g., illness, University holidays, student and faculty breaks, acts of God).
2. The Hearing Officer will preside at the hearing. A quorum of at least eight must be present, including a minimum of two faculty members. At least these same eight members should be present for all the hearings on a given case.
3. A member of the Code Committee accused of an infraction will be disqualified as a member of that Subcommittee.
4. The Subcommittee may request information from any source and will interview all parties involved.
5. A guilty verdict requires a majority vote of members who have been present for all the proceedings. A verdict of not guilty may be made either by an equal vote or a majority vote of members who have been present for all the proceedings.

6. If the student dentist or postdoctoral student is found guilty, the case is forwarded to the Dean, who will recommend and administer penalties, where appropriate, according to College, Graduate School, Medical Center and University policies and procedures. Penalties for graduate students will be assigned after consultation with the Dean of the Graduate School. If the student dentist or postdoctoral student is found not guilty in a hearing, the case is dismissed and all reference to the student will be deleted from the academic record and personnel file.

**X. Provisions for Student Appeal**

A student found guilty by the Code Committee will have all rights of appeal granted by University policies.

**XI. Faculty Responsibilities**

Faculty are full participants in the College Code. They are expected to be models of professional behavior. They have the following responsibilities besides those in the state practice act.

**A. Course Responsibilities**

Faculty must:

1. explain, at the beginning of every course, the type and amount of work a student should do on their own, without advice or assistance from anyone. These instructions must be included in the course syllabus.
2. state, orally or in writing, all general rules and directions for an examination or exercise. Special conditions about examinations should be attached in writing to the examination, e.g., where the test may be taken and how long the student has to take the examination. These conditions must define how questions will be addressed during the examination. The faculty member will have the option not to answer questions.
3. help students avoid situations where Code violations may occur easily. At the discretion of the faculty, this includes using random pre-assigned seating and designated storage areas for notebooks and texts. Other provisions may be used based on class recommendations through their officers.

4. administer examinations in a manner consistent with the intent and spirit of the Code. Some examinations may require the presence of faculty during the entire examination or at predetermined intervals (for example, practical examinations). However, the intent is for faculty not to play a policing role during examinations by proctoring examinations.

B. University Code of Faculty Responsibility

Faculty are responsible for standards and procedures described in the Faculty Code (Senate Rules, Section VII).

C. Policy on Ethical Standards and Misconduct in Research

Faculty are responsible for appropriate conduct in scientific investigations. University administrative regulations contain procedures for handling allegations of scientific misconduct (Section AR II-4.0-2).

D. Policy on Drug Free Institution

Faculty are responsible for standards described in the University Policy on Drug Free Institution (August 1990).

XII. Code Rules: Student Reports of Faculty Infractions

Student reports of faculty infractions will be made according to University policies and procedures, including the opportunity for consultation and assistance, including mediation, from the University Ombud (Senate Rules, Sections VI & VII).

- A. If a student suspects a faculty member has committed an infraction, he or she must choose one of four options.

Option One

He or she discusses the suspected infraction directly with the faculty member.

Option Two

He or she reports the suspected infraction to a College Code Committee member and requests that the committee discuss it, without identifying individuals, with the appropriate faculty.

Option Three

He or she reports the suspected infraction to a College Code Committee member with a request that the infraction be forwarded to the Chairperson of the academic department where the faculty member has his/her primary appointment.

Option Four

He or she reports the suspected infraction directly to the Chairperson of the academic department where the faculty member has his/her primary appointment.

- B. If a student has strong reason to conclude either by personal observation or by other convincing evidence that a faculty infraction has occurred, then he/she must report this infraction. The report can be made directly to the chairperson of the academic department where the faculty member has his/her primary appointment. A student may also seek the advice and support of a faculty member with whom he/she is familiar prior to reporting to the chairperson or to one of the following individuals.

Member, College Code Committee  
Course Director  
Head, Education  
Head, Patient Care  
Head, Research and Graduate Studies  
Head, Public and Professional Service  
Postdoctoral Program Director  
Dean, College of Dentistry

These individuals or the Secretary of the College Code Committee will immediately forward the report to the department chairperson.

**XIII. Code Rules: Faculty Report of Faculty Infractions**

- A. If a faculty member of the College suspects that a faculty member has committed an infraction, he or she must choose from one of three options.

Option One

He or she discusses the suspected infraction directly with the faculty member.

Option Two

He or she reports the suspected infraction to a College Code Committee member and requests that the Committee discuss this, without identifying individuals, with the appropriate faculty.

Option Three

He or she reports the suspected infraction to the chairperson of the academic department where the faculty member has his/her primary appointment.

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Honor Code: College of Dentistry

- B. If a faculty member has strong reason to conclude either by personal observation or by other convincing evidence that a faculty infraction has occurred, then he/she must report this infraction. The report can be made directly to the chairperson of the academic department where the faculty member has his/her primary appointment.

Individuals may also report an infraction to the following:

Member, College Code Committee  
Head, Education  
Head, Patient Care  
Head, Research and Graduate Studies  
Head, Public and Professional Service  
Postdoctoral Program Director  
Dean, College of Dentistry

These individuals will immediately forward the infraction to the Department Chair.

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Implementation: July 1, 1992.

5492C

7 April, 1992

TO: Members, University Senate

FROM: University Senate Council

RE: AGENDA ITEM: University Senate Meeting, Monday, April 13, 1992.  
Recommendations re Teaching Evaluation from the Ad-Hoc Teaching  
Evaluation Committee, slightly modified by the Senate Council, and  
transmitted to the Senate, recommended for adoption.

Background:

The Ad Hoc Teaching Evaluation Committee (Tom Blues, Lynne Hall, Angene Wilson, and Joe Davis) has completed deliberations concerning changes in the Administrative Regulations related to evaluation of teaching for merit, tenure and promotion. The committee recommendations are based on the premise that teaching and advising, like research and service, relies on expertise that can and must be identified and evaluated. The teaching portfolio is a mechanism that faculty members can use to collect and maintain those materials. The portfolio contains a variety of materials that describe, explain, and assess teaching and advising. It serves as an instrument for review, evaluation, and improvement of teaching; and frees the faculty and administrators from total reliance on student evaluations.

Attachment

5518c

## RECOMMENDATIONS

The Committee recommends that the attached description be inserted at the appropriate place in the Administrative Regulation regarding the Criteria for Appointment, Promotion and Tenure decisions (AR II-1.0-1) for all persons (regardless of the title series under which they are appointed) who have teaching as part of their duties. This would require that any person having a teaching responsibility would be subject to these provisions.

It is also recommended that the same outline be inserted into the Administrative Regulations regarding Policies for Faculty Performance Review (AR II-1.0-5) at the point where the text reads "The assessment of teaching shall include....". This part of the proposal is intended to strengthen the relationship between the annual performance review and the tenure and promotion decisions for those individuals involved in teaching and advising.

### A. Areas of Activity

#### 1. Teaching and Student Relations

Teaching and advising, like other scholarly activities such as research and service, must be evaluated in annual and biennial reviews and in appointment, retention, promotion, and tenure. The results of this evaluation shall be considered in the decisions concerning retention, promotion, and merit ratings of each faculty member.

#### Teaching Evaluation

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. 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 one paragraph description.
3. Representative course syllabi.
4. A quantitative and qualitative summary of student evaluations--including department and/or college norms and rating scale--since the last review or promotion.

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; evidence of learning by the 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, independent or experiential learning, consultation with students outside the department.

#### 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 advisees, 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.
3. Summary of activities associated with student organizations and service on student-faculty committees.

The following items are suggested but not required:

1. Student evaluation of advising.
2. Evaluation of advising by unit colleagues or administrators.

UNIVERSITY OF KENTUCKY

LEXINGTON, KENTUCKY 40506-0032

UNIVERSITY SENATE COUNCIL  
10 ADMINISTRATION BUILDING

7 April 1992

TO: Members, University Senate

FROM: University Senate Council

RE: AGENDA ITEM: University Senate Meeting, Monday, April 13, 1992. Recommendations from the ad hoc Committee on Minorities.

Background:

The ad hoc Committee on Minorities at the University of Kentucky was appointed jointly by the University Senate Council and the University Administration. The report was received by the Senate Council in the Fall 1990.

The Senate Council adopted recommendations at its April 6, 1992 meeting with the recommendation that they be transmitted to the Senate for adoption by that body.

Therefore at this time the Senate Council is transmitting these recommendations to the Senate, with the recommendation that they be adopted by the Senate, and that that action and the recommendations be forwarded to the President.

Many of the original recommendations of the report have been acted upon by President Wethington. The Administration's response to these recommendations is an encouraging chapter in the University's march toward full equity for all members of our Community.

Attachment

5517C

#### RECOMMENDATIONS

The report of the committee includes specific actions for implementation, those who should assume responsibility, and rationale. Specifically, the Committee recommends that:

1. University leaders visibly demonstrate commitment to cultural diversity and the elimination of discrimination against employees.
2. A proactive affirmative action plan be promoted and implemented in the University.
3. The University promote greater tolerance and appreciation for a culturally diverse environment.
4. A statement be issued to the University community indicating the University's policy on diversity, and a policy statement be placed in the Governing Regulations.
5. All those administering academic and non-academic units in the University (e.g. departments, divisions, colleges, sectors) including but not limited to department heads, supervisors, deans, directors, vice chancellors, chancellors, and vice presidents be required to evidence, as part of their regular merit evaluation report of activities, efforts to improve the encourage valuing of cultural diversity in their programs.
6. Academic unit reviews reflect concern with cultural diversity. That this be reflected by including a question in the procedures that addresses cultural diversity.
7. The University's contribution to its employee health costs and employees' costs of University day care be scaled to reflect ability to pay.
8. The Personnel Division be directed to expand the number and the scope of its workshop activities with particular attention given to the development of workshops in the basic crafts.
9. The Personnel Division be directed to develop a mandatory seminar program structured to inform managers of their responsibilities in eliminating racism and sexism in the work place.
10. The Personnel Division be instructed to review its policies and procedures and develop a more effective personnel management system.
11. University administration provide incentives for departments and colleges to recruit and retain qualified minority faculty.

Page 2

Recommendations: Ad hoc Committee on Minorities

7 April 1992

12. University administration provide support for departments to recruit minority graduate students as a means to enhance faculty and professional staff recruitment.
13. The University hire more minority administrators with broad-base decision making responsibilities.

5517C

