UK Office of the Provost

Meeting Specifics		
Purpose	**Frequency**	
Regularly Scheduled	Bi-weekly	
Date	**Time**	**Location**
November 3, 2025	3:00-5:00 p.m.	B&E Room 183

Faculty Senate		
☒ **Chair:** Crawford, Christopher	☒ **Design:** Fugate, Jeff	☒ **Honors:** Martin, Joe
☒ **Provost Liaison:** Harper, Christine	☒ **Design:** O'Bryan, Mark	☒ **Honors:** Roberts, Sherelle
☒ **Trustee:** Petrone, Karen	☒ **Education:** Bennett, Stephanie	☒ **Libraries:** Weig, Eric
☒ **Trustee:** Swanson, Hollie	☒ **Education:** Hammer, Joe	☒ **Libraries:** McDonnell, Andrew
☐ **Agriculture, Food & Environment:** Rentfrow, Gregg	☒ **Engineering:** Anderson, Kimberly	☐ **Medicine:** Bacon, Matt
☒ **Agriculture, Food & Environment:** Teets, Nicholas	☒ **Engineering:** Tagavi, Kaveh	☒ **Medicine:** Thibault, Olivier
☒ **Arts & Sciences:** Voss, Steve	☒ **Fine Arts:** Alley, Becky	☒ **Nursing:** Biddle, Martha
☒ **Arts & Sciences:** Stein, Melissa	☒ **Fine Arts:** Kerns, Bradley	☒ **Nursing:** Falls, Candace
☒ **Business & Economics:** Hapke, Holly	☒ **Graduate School:** Butler, John "J.S."	☒ **Pharmacy:** Freeman, Trish
☒ **Business & Economics:** Vincent, Leslie	☒ **Graduate School:** Montgomery, Kathleen	☒ **Pharmacy:** Bauer, Bjoern
☒ **Communication & Information:** Tai, Zixue	☒ **Health Sciences:** Hoch, Johanna	☒ **Public Health:** Haynes, Erin
☒ **Communication & Information:** Vallade, Jessalyn	☒ **Health Sciences:** Metzler-Wilson, Kristen	☒ **Public Health:** Ingram, Richard
☐ **Dentistry:** Dominguez Fernandez, Enif	☒ **Law:** Henke, Melissa	☒ **Social Work:** Jones, Aubrey
☐ **Dentistry:** Wiemann, Alfred	☒ **Law:** Murray, Michael	☒ **Social Work:** Ratliff, Stephanie

Standing Guests and Visitors		
☒ DiPaola, Bob	☒ Harmon, Camille	☒ Thomas, Rebecca
☒ Jasinski, Jana	☒ Frisby, Brandi	☒ Benton, Julie
☒ **Visitor:** Brock, Matt	☒ **Visitor:** Morris, Ed	☒ **Visitor:** Thyne, Clayton
☒ **Visitor:** Franco Watkins, Ana	☒ **Visitor:** Johnson, Lam	☒ **Visitor:** Pica, John
☒ **Visitor:** Voogt, Ryan	☒ **Visitor:** Bergeron, Emily	☐ **Visitor:**

Agenda Item	Presenter/Facilitator
Opening Remarks	Updates	Announcements 5 min	C. Crawford
Roll Call	Approval of the Minutes 5 min	C. Crawford
Senate Organization Workgroup Updates 5 min	C. Crawford
Senate Curriculum Committee Updates 5 min	M. O'Bryan
Shared Governance Committee Updates 5 min	B. Alley
Faculty Trustee Updates 5 min	H. Swanson/K. Petrone
Provost Updates and Consultation 30 min	B. DiPaola/C. Harper
New Degree Program Proposals 10 min	M. Brock/E. Morris
Faculty Affairs Committee Updates 50 min	L. Vincent
Call for Agenda Items	C. Crawford

Next Meeting November 17, 2025 | 3:00-5:00 p.m. | B&E Room 183	

Minutes	
Agenda Item: Opening Remarks | Updates | Announcements	**Presenter: C. Crawford**

- C. Crawford called the meeting to order at 3:00p.m.
- C. Crawford asked J.S. Butler to fill in as parliamentarian in G. Rentfrow's absence.
- C. Crawford gave opening remarks and thanked the Faculty Senate for their engagement and dedication to the report on faculty productivity.
- Faculty Senate went through roll call.
- October 20 minutes were presented.
  - O. Thibault made a motion to amend the October 20 minutes.
    - The motion is to amend the third from last bullet under the UK Core Updates agenda item to state that: The Faculty Senate discussed the composition of the UK Core Task Force, ensuring broad faculty input on changes to UK Core, and the possibility of additional UK Core areas. Based on the recommendation of the senators in the room, B. DiPaola agreed to include faculty in the UK Core process.
  - The motion to amend the October 20 minutes passed with 2 abstentions.
  - October 20 minutes were approved with the amended language.
- C. Crawford made a motion to amend the agenda.
  - The motion is to move the Faculty Affairs Committee Updates agenda item to the top of the agenda.
  - The motion to amend the amend the agenda passed.

Agenda Item: Faculty Affairs Committee Updates	**Presenter: L. Vincent**

- L. Vincent provided an update from the Faculty Affairs Committee on the proposed faculty productivity review processes. L. Vincent thanked everyone for their commitment and engagement in representing the faculty viewpoint while making edits to the document. The step-by-step process of soliciting feedback resulted in two models for assessing faculty performance and productivity.
  - Model A builds from existing practices but proposes a more-innovative system of performance review that could support faculty success.
  - Model B represents minimal change, adjusting existing merit-review and post-tenure review procedures to ensure centralized reporting of results.
- L. Vincent proposed that the Faculty Senate first approve all grammatical and formatting changes in the document.
  - The Faculty Senate discussed the use of the term academic unit and how unit may be interpreted as one discipline, which would not cover the substantially different expectations for different disciplines.
    - The motion to approve all grammatical and formatting changes in the document passed.
- L. Vincent went through the unresolved comments and amendments in the document. The Faculty Senate discussed and voted on the following motions to amend the document.
  - A motion was made to amend the order of bullet points in the executive summary to list model A first.
    - The motion to amend the order of bullet points in the executive summary passed.
  - A motion was made to change the name of the model from Faculty Review, Assessment, Metrics & Expectations to Feedback-Responsive Allocation, Metrics, and Evaluation.
    - The motion to change the name of the model to Feedback-Responsive Allocation, Metrics, and Evaluation passed.
  - A motion was made to amend the example DOE categories from teaching, creative, technical, research, service, administration, clinical, and other assigned activities to teaching, research, service, administration.
  - A friendly amendment was made to remove DOE categories and replace them with job responsibilities.
    - The motion to remove the DOE categories and replace with job responsibilities passed.

- o A motion was made to amend the flowchart to add meets expectations.
  - ▪ The motion to amend the flowchart to add meets expectations did not pass.
- o A motion was made to remove the word consistency from the sentence 'Ensure consistency in evaluation across faculty, accounting for differences in DOE and title series.'
  - ▪ The motion to remove the word consistency passed.
- o A motion was made to amend the three-point scale to a two-point scale.
  - ▪ The motion to change from a three-point scale to a two-point scale did not pass.
- o A motion was made to amend every reference from unit administration to unit head.
  - ▪ The motion to amend every reference to unit head passed.
- o A motion was made to change business days to calendar days.
  - ▪ The motion to change business days to calendar days did not pass.
- After thoughtful discussion within Faculty Senate, L. Vincent motioned to approve the final report on Faculty Productivity Structure with the incorporation of the amendments passed during the meeting.
  - o The Faculty Senate Discussed.
  - o The motion to approve the final report on Faculty Productivity Structure with the incorporation of the amendments passed during the meeting passed.
  - o Please see Appendix A for presentation slides/report.

Agenda Item: Senate Organization Workgroup Updates	Presenter: C. Crawford

- C. Crawford made a motion to amend the agenda.
  - o The motion is to move the New Degree Program Proposals agenda item to the next agenda item.
- The motion to amend the amend the agenda passed.
- The Senate Organization Workgroup Updates agenda item was tabled until the next Faculty Senate meeting.

Agenda Item: New Degree Program Proposals	Presenter: M. Brock/E. Morris

- C. Harper introduced two new degree program proposals and opened the floor to the program representatives.
- M. Brock gave an overview of the proposed BA in Film and Sonic Art.
  - o The Faculty Senate discussed the definition of sonic, the flexibility to include additional pathways in the future, and how this degree program is different than digital media design.
- E. Morris gave an overview of the proposed BA/BS in Criminology.
  - o The Faculty Senate discussed the difference between criminal justice and criminology, unnecessary duplication, and how similar programs are structurally housed at other institutions.
- A motion was made to suspend the rules of the Faculty Senate to allow D. DiPaola to discuss a department merger before the next agenda item.
- B. DiPaola consulted the Faculty Senate regarding the merger of the Department of STEM Education and the Department of Curriculum and Instruction within the College of Education to create the Department of Teaching and Learning.
  - o The Faculty Senators from the College of Education provided background information on the merger of the two departments.
  - o The Faculty Senate discussed the process for approval of department mergers and whether a vote is needed from the faculty of each department.
  - o A motion was made to require a department vote from each department faculty on whether they support the merger.
    - ▪ The motion to require a department vote from each department faculty on whether they support the merger passed with 8 abstentions.

Agenda Item: Senate Curriculum Committee Updates	Presenter: M. O'Bryan

- No updates provided.

Agenda Item: Shared Governance Committee Updates	**Presenter: B. Alley**

- B. Alley presented the Shared Governance Committee Updates.
    - One of the main takeaways from the Faculty Senate retreat was that the Faculty Senate needed to develop communication tools to share information with faculty.
    - B. Alley motioned for the Faculty Senate to vote on a proposal to appoint a person or small group to assist in developing a Faculty Senate communication strategy.
        - The motion to appoint a person or small group to assist in developing a Faculty Senate communication strategy passed with one abstention.
    - B. Alley reminded the Faculty Senate of the agreement for a feedback loop on the rationale behind decisions to change or not change Administrative Regulations based on the feedback provided by the Faculty Senate.
    - C. Harper shared that this feedback was part of the provost updates and would be shared at the next meeting, as there is no time left in the current meeting.
    - Please see Appendix B for presentation slides/report.

Agenda Item: Faculty Trustee Updates	**Presenter: H. Swanson/K. Petrone**

- This agenda item was tabled until the next Faculty Senate meeting.

Agenda Item: Provost Updates and Consultation	**Presenter: C. Harper/B. DiPaola**

- This agenda item was tabled until the next Faculty Senate meeting.

Agenda Item: From the Floor	**Presenter: Faculty Senate**

- None were added.

Agenda Item: Call for Agenda Items	**Presenter: C. Crawford**

- None were added.

Other Information	
Adjournment	
• Meeting adjourned at 5:02p.m.	
Next Meeting	
• Monday, November 17, 2025 3:00-5:00p.m., B&E Room 183	

Faculty Productivity Structure – Final Report to the Provost

Prepared by the Faculty Affairs Committee on behalf of the Faculty Senate

November 3, 2025

Executive Summary

- Offers two possible models for assessing faculty performance and productivity
- Model A builds from existing practices, but proposes a more-innovative system of performance review that could support faculty success.
- Model B represents minimal change, adjusting existing merit-review and post-tenure review procedures to ensure centralized reporting of results
- These models emerged from an exhaustive effort to gather information from faculty members and from institutions that engage in similar performance-review efforts

Introduction

The provost's office charged the Faculty Senate with formulating a proposed response to new statutory language governing evaluation of faculty productivity. Our response was required to include at least two alternatives for complying with the legislative mandate. We had to generate those models on a short timeline; the new faculty productivity review process must be approved by year's end and to take effect this coming June. In the report that follows, we lay out the process and design principles that shaped our two alternatives, along with the two models themselves.

Background: Complying with KRS 164.230

Kentucky's General Assembly passed legislation last spring requiring evaluation of the performance and productivity of faculty members at least once every four years (i.e., House Bill 424, which amended KRS 164.230). The legislation authorized removing faculty members "regardless of status" for "cause," a term expanded to include "failure to meet college or university performance and productivity requirements." It mandates centralization of that review process under the authority of the colleges and/or the University President. The legislation states that, "The evaluation process shall be established by the board and provided to all faculty members by January 1, 2026, to become effective July 1, 2026."

Merely complying with that new statutory language does not require substantially changing current UK policies. The University's colleges already have merit-review procedures in place that assess the job performance of faculty members, including tenured faculty, more

than once every four years. The University of Kentucky also currently has in place a thorough administrative regulation, AR 3.11, that lays out post-tenure review procedures, including the means to remove tenured faculty members for failing to meet productivity expectations (From AR 3.11: "In those cases where serious deficiencies continue to exist after the Consequential Review plans are completed, dismissal for cause procedures may be initiated."). Removal of untenured faculty for low productivity is, of course, already possible as well (e.g., during the contract-renewal process or the tenure process). To comply with the legislative mandate, therefore, UK could simply strengthen policies already in place to meet the components of HB 424. Indeed, we propose such a minimal change as one possible adaptation to HB 424 (Model B).

Design Principles and Approach for Developing UK-FRAME

The Faculty Affairs Committee (FAC) also formulated a more robust model of productivity review that could be more broadly impactful (Model A). The FAC followed a number of design principles to ensure Model A was representative of all stakeholders, not just the members of the committee. Those principles were:

A. ***Broad Consultation*** – We encouraged individual faculty senators to gather information from their constituents through meetings with college administration, office hours, attendance at college governance meetings (e.g., faculty councils), and feedback from faculty (e.g., through surveys and town halls). We received extensive feedback from those senators during a Senate Retreat on October 6. In addition, members of the FAC investigated similar policies implemented at a variety of high-ranking public universities (Appendix A). Committee Chair Leslie Vincent met with UK associate provosts Harper and Thomas, as well as with the College of Design to solicit feedback from the Provost's Office and faculty on the process. Committee member Stephen Voss met with the Provost and with officials in the College of Medicine to discuss their ACE program. Additionally, faculty senators solicited feedback from their constituents on a memo from the FAC committee, and this feedback was discussed in the October 20 Faculty Senate meeting. We ***believe we have assimilated the insights gleaned from all the sources into our proposed models.***

B. ***Responsiveness to Variation in Disciplines & Faculty Status*** – Virtually all faculty members consulted rebuffed the idea of top-down productivity metrics that could be applied to faculty ***across*** all units ***on*** campus. Both the disciplinary norms and the formal job descriptions (i.e., distributions of effort (DOE) under which faculty operate) are simply too varied for this approach.

Rather, to realize a fully holistic evaluation of each faculty member, one informed by their formal job description, most steps in the process – all except those bringing final resolution to difficult cases – should be decentralized to the colleges. This decentralized process will primarily require shared responsibility between the directors of educational units (e.g., department chairs) and college leadership (e.g., Deans).

C. **Efficiency** – Most colleges already have merit-review procedures in place that comply with the legislatively mandated timeline. Existing merit-review procedures generally consider faculty productivity for both tenured and non-tenured faculty. Untenured faculty undergo additional forms of review throughout the current tenure and promotion processes and/or through the contract-renewal process. Both because of the short timeline necessitated by this legislative change and because we received largely positive feedback about existing merit-review procedures, our goal was not to duplicate, replace, or excessively interfere with what colleges are already doing. Model A does offer several new regulations to guide the periodic faculty reviews, and it is possible that having these uniform requirements will require colleges to **adjust** their current merit-review practices. However, **Model A** attempts to leverage what colleges are already doing – with only the final stages of productivity review being added. In doing so, we are trying to ensure that this effort to ensure productivity does not, by creating excessive paperwork or record keeping, ultimately undermine productivity.

D. **Positivity** – Most of the public discussion of HB 424 focused on the risk it poses to tenure and, therefore, has emphasized the potential negative outcomes of a productivity review process. The Provost, on the other hand, encouraged the Faculty Senate to consider the positive role this process could play not only in encouraging faculty success, but also in recognizing and rewarding especially productive faculty. We strove to design a productivity-review system that could identify exceptionally positive as well as exceptionally problematic cases.

Model A – UK FRAME: Feedback-Responsive Allocation, Metrics, and Evaluation

The faculty performance and productivity review process should be a transparent system that encourages a faculty member's professional development, and ensures the accountability of full-time faculty – yet does so in alignment with the expectations of each educational unit (e.g. department, school, and/or college, hereafter "educational unit"),

the policies of the University, and the dictates of Kentucky state law. The Feedback-Responsive Allocation, Metrics, and Evaluation process outlined here (see Figure 1) meets those objectives. UK FRAME's approach:

- Builds on existing, decentralized merit-review procedures appropriate to each educational unit, intended to offer a comprehensive assessment of performance for faculty across all aspects of their job responsibilities,
- Mandates performance reviews that occur on a regular cycle (annually or biennially), consistent with operating procedures published in each educational unit,
- Closes the feedback loop between determining a faculty member's job description (i.e., distribution of effort) and a faculty member's merit review,
- Broadens the description of how performance will be scored (i.e., statements of evidence) to apply beyond promotion and tenure decisions,
- Outlines a method of reporting merit-review results to a centralized office, the office of the Provost, to identify faculty members who are either struggling or excelling,
- Provides for a collaborative system of productivity improvement for faculty members with low performance scores,
- Follows the University's due-process regulations both when determining merit ([AR 3:11 - Tenured Faculty Review and Development Policy](#)) and when faculty members might be subject to removal for cause ([AR: Due Process: Employee Code Faculty (Interim)](#)).

Faculty Merit Review

Educational Unit (i.e., Department) Level

Review with Educational Unit

Distribution of Effort (DOE) — Statement of Evidences (SOE)

Merit score determined and communicated to faculty member

College Level

Score reported to College Dean

Merit score appeal within the college (if applicable)

Dean converts merit score to 3-point scale for Productivity Review
3 – Exceeds Expectations
2 – Meets Expectations
1 – Does Not Meet Expectations

Results inform development of subsequent year's DOE

University Productivity Review

Dean reports scores to Provost Office

Exceeds Expectations:
-Merit pool raises
-Awards/honors
-DOE changes

Does Not Meet Expectations
After second consecutive "Does Not Meet Expectations", Performance Improvement Plan developed in consultation with educational unit and Provost Office approval

Successful Remediation
Dean reports to Provost Office

Unsuccessful Remediation

Appeals Process
Appeal committee review in accordance with AR: Due Process: Employee Code (Faculty)
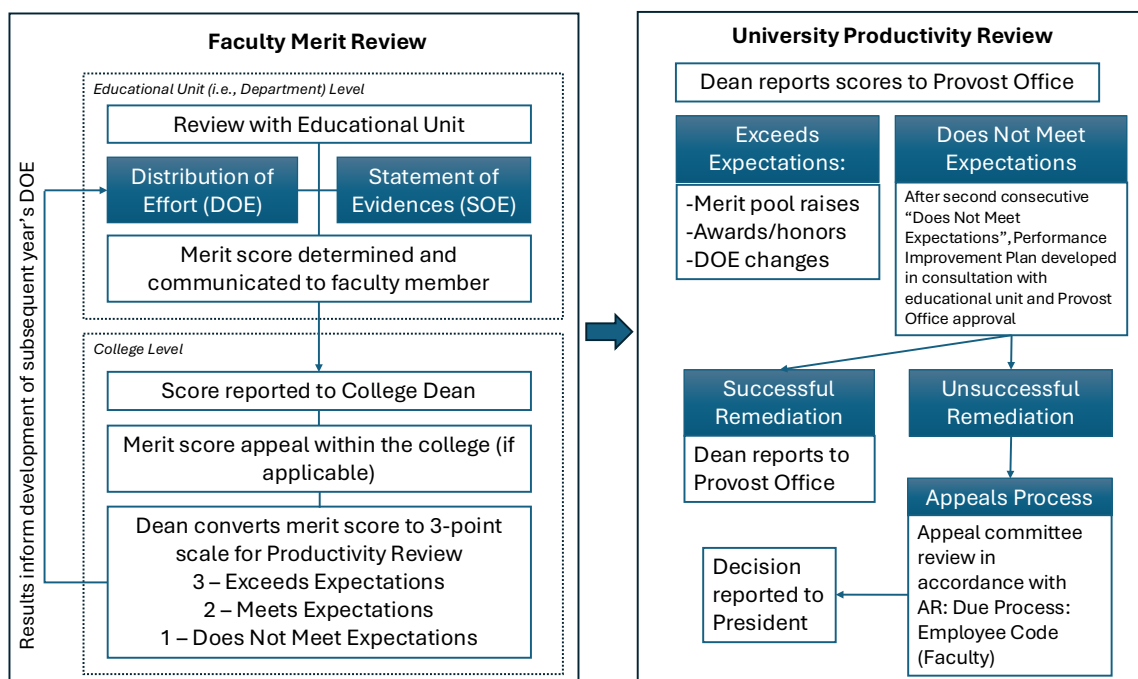
Decision reported to President

Figure 1: The UK FRAME Process

Integration of Faculty Review and Productivity Review

Faculty performance reviews, as outlined in [AR 3:10 - Faculty Performance Evaluation and Progress Review](), will serve as a key component of the University's productivity review process. These reviews occur annually or biennially, depending on college policies and faculty title-series, and must reflect each faculty member's Distribution of Effort (DOE). Evaluation criteria should be grounded in each educational unit's Statement of Evidence (SOE), which establishes the standards for judging performance in both faculty performance and productivity reviews. To ensure fairness and accountability, the educational unit must clearly define expectations for productivity, apply them consistently across all faculty, and provide regular feedback at least once every 2 years to help faculty understand and improve their performance review scores.

Part 1: Faculty Merit Review Process

Educational Unit Review Framework

All faculty reviews must be aligned with each faculty member's DOE. This alignment ensures that performance evaluations reflect assigned responsibilities. Each educational unit is required to:

- Develop discipline- or specialization-appropriate standards for productivity across all applicable categories of the DOE.

- Establish a comprehensive rubric (SOE) for evaluating performance for all faculty title series, supported by a vote of the educational unit's faculty. This rubric must align with promotion and tenure standards, and must be approved by the college.

- Submit the SOE to the provost's office for review and feedback.

- Formalize the determination of each faculty member's DOE so that it allows a realistic amount of time for each faculty member's job responsibilities.

- Maintain an up-to-date SOE and clearly communicate these standards and rubrics to faculty members before the beginning of the performance-review period.

- Ensure consistency in evaluation within each title series, accounting for differences in DOE and title series.

- Include a clearly defined rating scale for assessing faculty performance and productivity.

The educational unit heads are responsible for overseeing the faculty review process. They must ensure adherence to educational unit standards, consistent application of evaluation criteria, and alignment with the SOE.

Review and Reporting Process

Faculty Performance Review Conducted

The faculty performance review evaluates each faculty member's performance in relation to their DOE and educational-unit expectations.

- Faculty are reviewed in accordance with their educational unit or college's review cycle (annual or biennial), based on title series and/or tenure status.

- Each review assesses performance against the DOE and uses both quantitative and qualitative measures in the SOE established by the faculty in the educational unit and approved by the college.

- Faculty must receive both quantitative ratings and qualitative feedback; the narrative feedback must explain the rationale behind the rating.

- Education unit heads must offer guidance on how faculty members can improve their performance review scores.

- Faculty must be given the opportunity to provide a written response if desired.

Educational Unit Heads Evaluation and Reporting

After individual reviews are completed, the educational unit head will compile results, assign ratings, and submit the results to the college with accurate documentation.

- The educational unit head will assign ratings using the specific scales developed by the educational unit and approved by the college.

- Colleges may also develop processes where the ratings are reviewed at the college level before being communicated to faculty members.

- The expectations associated with each rating must align with the educational unit standards, the SOE expectations, and DOE allocation.

- An overall performance rating weighted by DOE percentages will be calculated for each faculty member.

- Completed evaluations, ratings, faculty responses (if applicable), and any supporting documentation must be submitted to the Dean's Office with a copy provided to the faculty member.

- When a faculty member receives a "Does Not Meet Expectations" rating, the educational unit head must document the basis for the rating and recommend steps for improvement or remediation after consultation with the faculty member.

Appeals Process for Performance Review Scores

Each college must establish a clear and transparent appeals process for faculty who wish to appeal their performance review scores.

- The appeals process must be documented in the college's operating procedures and communicated to all faculty annually.

- Faculty must be informed of their right to appeal and the deadline by which an appeal must be submitted following receipt of their performance review score.

- Appeals should be submitted in writing and include justification and any supporting material the faculty member wishes to present.

- Colleges must designate an appeals committee or a process involving impartial reviewers who were not directly involved in the initial evaluation. The procedure for selection of these reviewers should be outlined in the college's operating procedures.

- The appeals process must outline timelines for review, notification of decisions, and how final outcomes will be documented and stored.

- The outcome of decisions resulting from the appeal process must be communicated in writing to the faculty member and the educational unit head, and, when necessary, adjustments to scores or recommendations must be forwarded to the dean's office for recordkeeping and consideration.

Dean's Office Oversight

The dean's office ensures compliance with University policies, accuracy, and consistency in the faculty review process determined by the college and maintains official records. In addition, the dean's office will:

- Verify that all faculty members were reviewed according to policy and maintain the appropriate documentation for institutional reporting.

- Ensure each educational unit head adheres to the approved standards, rating scales, and procedures. Should inconsistencies be determined, the dean's office may seek clarification or revision of submitted faculty performance rating assigned by the educational unit head.

- Convert the DOE weighted performance score into a 3-point scale for reporting to the provost's office for the Productivity Review, where:

    o 3 – Exceeds Expectations
    o 2 – Meets Expectations
    o 1 – Does Not Meet Expectations

- Flag faculty performance reviews that indicated a "Does Not Meet Expectations" rating, triggering the University Productivity Review (Part 2) process.

- The dean's office may periodically examine educational unit review practices to ensure fairness, consistency, and alignment with University and college policy.

Feedback and Adjustment of Faculty DOE

After the faculty performance review is completed, there must be feedback provided, and the performance review should inform DOE assignments in subsequent years.

Part 2: The University Productivity Review

Productivity Review Framework

This policy establishes the framework for evaluating faculty productivity across colleges using a standardized reporting process. The goal is to ensure accountability, recognize excellence, and provide support for improvement where needed.

The dean's office will report the three-point aggregate score for each faculty member to the Provost's Office for institutional tracking.

Identification of Faculty for Action

Faculty receiving a score of 3 (Exceeds Expectations) or 1 (Does Not Meet Expectations) will be flagged for further action. Faculty scoring 2 (Meets Expectations) will not require additional action beyond routine acknowledgment and record-keeping.

Each college shall establish a formal and transparent process to reward faculty who receive a score of 3. Reward mechanisms must be commensurate with the finer-grained college merit review score, and may include, but are not limited to:

    o Merit-based salary increases
    o Adjustments in DOE to support continued excellence
    o Increased research funding or budget allocations
    o Additional travel or professional development funds
    o Others as determined by the college

Performance Improvement Plans

Faculty members receiving a "Does Not Meet Expectations" rating (score of 1), as determined by their educational unit's processes and college conversion, on two consecutive performance reviews, will be required to propose a Performance Improvement Plan (PIP). Per AR 3:11, Upon recommendation of the educational unit head and approval of the dean, a faculty employee subject to evaluation under this plan may be exempted if there are extenuating circumstances (such as health problems). A decision by the chairperson not to recommend such exemption may be appealed to the Dean. A Consequential Review will not be undertaken until the final disposition of any appeal. The faculty member will develop the PIP in consultation with the educational unit head and the college dean. The PIP must include:

- Specific goals for improvement in the relevant performance areas that contributed to the unsatisfactory rating. Each goal should include measurable outcomes that will result in successful improvement in the relevant performance area.

- A timeline with significant milestones delineated for each specific goal demonstrating progress towards the measurable final outcome. The timeline should not exceed three years from the start of the PIP with annual reviews of progress.

- The necessary educational unit, college or University resources and support needed to achieve the specific goals and how those resources will be provided.

The educational unit head and dean will monitor the PIP to ensure progress is achieved. The process for monitoring and evaluation of a faculty PIP should be included in the educational unit operating procedures.

Once all objectives have been met, or at the end of the agreed upon timeline, the educational unit administrator will prepare a report documenting the outcome of the PIP. The faculty member will be given a copy of the report and an opportunity to include additional information prior to the report being submitted to the dean. AR 3-11 provides guidance on the requirements for this process.

Successful Completion of the Performance Improvement Plan

If the faculty member has met all the goals associated with the PIP, the faculty member will return to the educational unit standard faculty performance review process. The dean will submit a memo to the provost's office indicating the faculty member has successfully completed the PIP and a copy of this memo will be maintained within the faculty's record in the educational unit.

Unsuccessful Completion of the Performance Improvement Plan

The dean will notify the provost's office if the faculty member has not met all the goals associated with the PIP upon completion. The provost's office will review the report and notify the president to begin the dismissal for cause procedures as outlined in the interim AR: Due Process: Employee Code (Faculty). This procedure will include notification of dismissal stating the cause, an opportunity for the faculty member to appear before the Board of Trustees to appeal the dismissal, and notification of dismissal with a minimum of 30 business days written notice. The faculty member has the right to appeal a report indicating unsuccessful completion of the PIP. Should the faculty member wish to appeal the report, the faculty member will notify the dean of their wish to appeal, in writing, within 60 business days of the submission of the report to the dean. The dean of the college will notify the provost that the faculty member wishes to appeal the report. Once the provost has received written notification of the appeal, the provost will request the Faculty Senate to proceed with the appeals process before notifying the President to begin the dismissal for cause procedures.

The Faculty Senate will appoint an external committee of faculty to review the final report. This review may include the collection of additional quantitative and qualitative info associated with the faculty member under review, and any comments provided by the educational unit head and/or the college dean . A final recommendation from the appointed external committee will be submitted to the President within 60 business days of receiving the request from the provost. The president will review all information from the dean's report and appointed external committee report and make a final decision. This decision will be provided to the provost and President and outlined in the new AR: Due Process: Employee Code (Faculty) in section F. Should the President determine the final outcome to be dismissal, the procedures outlined above and within KRS 164.230 , AR: Due Process (Interim) and Policy – Due Process: Employee Code (Faculty) will be followed.

University Reporting and Compliance

Each educational unit is required to report the final rating of every faculty member to the provost's office to ensure compliance with the legal requirement that all faculty be evaluated at least once within the required four-year period. Any faculty member who receives an unsatisfactory rating in two successive Faculty Merit Reviews must be tracked through the improvement plan process until the issue is resolved. The University will maintain annual summary reports documenting compliance, completion rates of reviews, and outcomes of evaluations that were flagged as unsatisfactory.

Continuous Improvement

Educational units and colleges are encouraged to regularly review and update their SOE

and rating criteria to ensure continuous alignment with evolving academic standards. This process of continuous improvement will ensure that evaluation practices remain fair, relevant, and reflective of current faculty performance and productivity expectations.

Why it fits KRS 164.230

This UK FRAME model will exceed the expectations of KRS 164.230 if adopted by the University's Board of Trustees. While KRS 164.230 mandates that faculty "shall be evaluated at least once every four (4) years," UK FRAME ensures that faculty at the University are evaluated at least twice as frequently. Additionally, it meets legislatively mandated due-process requirements by ensuring a fair and equitable evaluation process for faculty across all colleges and title series. Finally, consistent with KRS 164.230's mandate that the Board of Trustees define an evaluation process for "performance and productivity requirements" (subsection 5 of HB 424), UK FRAME offers a holistic framework that evaluates the varied responsibilities carried out by University of Kentucky faculty across 19 colleges.

Advantages and Limitations

The advantages of UK FRAME Model A are that it exceeds the requirements imposed by KRS 164.230 while providing a structure for evaluating faculty performance and productivity in a manner best suited to their respective responsibilities within their distinct educational unit. In addition to providing clear guidelines for due process, it meets the Provost's call to "provide faculty with opportunities for professional growth and remediation and reflect discipline-specific expectations." It integrates expectations (SOE) and resource allocation (DOE) into the review process and includes an innovative feedback loop connecting performance back to allocation of resources. It offers a simple three-point scale that provides clarity at the conclusion of performance evaluations but does not sacrifice nuance, as the overall rating is built on complex evaluation processes already in place and requires documented justifications for any rating of "Does Not Meet Expectations". Unlike Model B, it explicitly offers a University-wide means of recognizing faculty members that excel, with reward mechanisms as part of this evaluative process.

Model A's limitations are that it likely will require additional administrative labor at the College and educational-unit level. This work will be significant if Model A is adopted, particularly from January 1 to July 1, 2026, but also on an ongoing basis with newly created layers of due process and reporting. Additionally, many faculty find the type of quantitative evaluation in this model overly reductive. Providing a three-point scale for the University Review, rather than continuing to present the entirety of a performance evaluation, may

create a perception of over-simplification and therein a lack of transparency or fairness. That is an inevitable limitation in any University-wide rubric.

Model B – Extension of Current Policies

Under this model, the existing Administrative Regulations—AR 3:10: Faculty Performance Evaluation and Progress Review and AR 3:11: Tenured Faculty Review and Development Policy—will serve as the foundation for the university's productivity review process. These regulations would continue to govern how faculty performance is evaluated, including annual reviews, progress assessments, and post-tenure development.

To align with productivity review requirements, this model would incorporate an additional reporting mechanism. Specifically, colleges will be responsible for submitting summary reports of faculty performance outcomes to the Provost's Office. These reports will include identification of faculty who do not meet expectations, ensuring institutional oversight, accountability, and compliance with university and legislative requirements.

Why it fits KRS 164.230

Existing University policies already meet most of the baseline requirements of Kentucky Revised Statues KRS 164.230. Faculty are reviewed more than once every four years, and even tenured faculty members may be removed if "deficiencies" in their performance persist after negative post-tenure review. All that seems to be missing is a system for reporting review outcomes in a centralized fashion. This model adds the missing element to bring our current policies and procedures into compliance.

Advantages and Limitations

The main advantage to this model is that it does not require any major policy changes to the current evaluation of faculty performance, creating the least amount of disruption to current practices. With limited disruption, the time between Board approval and implementation (approximately 6 months) can be used by the Colleges and the Provost's Office to strengthen internal processes (e.g. introduction of tableau databases for data capture/reporting, refinement and posting of internal policies and procedures) to ensure a robust implementation by July 1, 2026.

There are two primary limitations to this model. First, this model does not require the evaluation of faculty performance against the DOE that utilizes both quantitative and qualitative measures established by the educational unit. This limits the transparency of the evaluation by the educational unit head. Based on feedback from the FAC survey, transparency in the overall performance review had widespread faculty support. Second, the evaluation does not require guidance on how faculty can improve their ratings. Third,

this model does not encourage greater faculty productivity more broadly, because it focuses on faculty members with significant performance deficiencies. It does nothing new to help most faculty members improve, nor does it reward faculty members who excel.

Conclusion

 The Faculty Senate's proposed models provide two viable paths for the University of Kentucky to comply with KRS 164.230 while upholding institutional integrity and faculty governance. Model A (UK FRAME) establishes a comprehensive, developmental framework that promotes accountability, transparency, and recognition of excellence. Model B (Extension of Current Policies) ensures compliance through minimal procedural changes and limited administrative impact.

Appendix A: Benchmarking Summary

Benchmark Comparison Summary (generated by Chat GPT using the policies below)

1. OSU: Faculty Annual Review, Post-Tenure Review, and Reappointment Policy
2. Utah: Post-Tenure Review | Faculty Affairs
3. Texas A&M: Full_Board_ASA_03_00_Regulation_10.003_FINAL_CE.pdf
4. Florida: Post-Tenure Faculty Review – Regulation and Policy Hub
5. Florida State University: Chapter FSU-4 Faculty and Staff
6. Indiana: Folder Name: Policies: University Policies: Indiana University

1. The Ohio State University – Faculty Annual Review, Post-Tenure Review, and Reappointment Policy

Policy Name: Faculty Annual Review & Reappointment; Post-Tenure Review (OSU)

Purpose: To monitor faculty performance, provide feedback, support advancement, and ensure accountability for tenured faculty. For annual review: track progress toward tenure/promotion/reappointment. For post-tenure review: ensure ongoing productivity of tenured faculty. Office of Academic Affairs+3policies.osu.edu+3compliance.osu.edu+3

Review Frequency: Annual for annual review. Post-tenure review cycles as required by state law (for example triggered by unsatisfactory evaluations) and institutional rule. compliance.osu.edu+1

Who Conducts Review: Department chairs/units conduct annual reviews; college/Dean's Office and Office of Faculty Affairs for post-tenure. compliance.osu.edu+1

Rating Scale: For annual review, written performance reviews with goals and progress (not always a numeric 1-3 scale in publicly available summary). policies.osu.edu For post-tenure review, the law requires a review, and policy includes "does not meet expectations" or similar language. CitizenPortal+1

Documentation required: Written annual performance review, goals, progress toward promotion/tenure; for post-tenure review: dossier of faculty accomplishments, documentation of performance over review period. compliance.osu.edu+1

Decision Authority: Department chair and dean for annual review; for reappointment and tenure leading to board of trustees/regents for post-tenure. Ohio State University Trustees+1

Positive outcomes: Recognition of strong performance, support for promotion/reappointment, salary increases, continued appointment.

Deficiency outcomes: For annual review: remedial steps, feedback. For post-tenure: review triggered, possible corrective action including removal if sustained poor performance. compliance.osu.edu+1

Appeals process: OSU policy provides appeals procedure (e.g., in Faculty Handbook Chapter 3: Appeals & Complaints). faculty.osu.edu

Transparency and reporting: Faculties are informed of criteria, review procedures, and deadlines; documentation is retained; state law outlines deadlines for post-tenure review policy implementation. compliance.osu.edu+1

Alignment with state oversight: Ohio law (e.g., §3345.453) mandates institutions to adopt post-tenure review policies and define due process timelines. Ohio Laws+1

Unique elements: OSU integrates annual review (pre-tenure and non-tenure track) with post-tenure process, linking it explicitly to state legislative mandates (Ohio's SB 1) and institutional Faculty Rules (Faculty Rule 3335-5-04.5). compliance.osu.edu+1

2. University of Utah – Post-Tenure Review / Faculty Affairs

Policy Name: Post-Tenure Review (University of Utah Faculty Affairs)
Purpose: To assess and support continuing productivity and professional development of tenured faculty and ensure institutional accountability for faculty performance. PowerDMS+1

Review Frequency: Typically, within five years after tenure is granted, then every five years thereafter. University Policies

Who Conducts Review: A committee of tenured faculty peers appointed by the Provost, along with unit/department and college administrators. Utah Legislature+1

Rating Scale: Policy uses performance evaluation consistent with assigned duties; specific numeric scale less publicly detailed in source. history.utah.edu

Documentation required: Faculty portfolio of accomplishments (teaching, research, service) since last review; self-assessment; relevant data. Regulations Library+1

Decision Authority: Department chair/unit head reviews; college dean and Provost make final recommendations; institutional board oversight.

Positive outcomes: Recognition of strong performance, enhanced support for development, possible increased resources.

Deficiency outcomes: If review indicates concerns, faculty may be placed on development plan or other remedial process; potential for further action in extreme cases.

Appeals process: Policies provide for faculty response to review findings and procedural safeguards; e.g., faculty may respond within set timeframe. Regulations Library

Transparency and reporting: Review procedures are public; criteria and timelines are in faculty handbook; required by institutional policy and state statute. PowerDMS+1

Alignment with state oversight: Utah Code §53B-2-106.1 requires degree-granting institutions to have tenure and post-tenure policies; policy reflects this requirement. Utah Legislature

Unique elements: Emphasis on faculty development in addition to accountability;

integration of peer committee review; explicit protection of academic freedom while conducting review. [PowerDMS](#)

3. Texas A&M University System – Regulation 10.003 or Regulation 12.01 (Full Board ASA)

Policy Name: Texas A&M University System Regulation 12.01 – Academic Freedom, Responsibility and Tenure; Faculty Performance/Evaluation Policy (System Regulation)

Purpose: To establish standards for faculty appointment, promotion, tenure, and review of faculty performance across teaching, research, and service. [policies.tamus.edu+1](#)

Review Frequency: For probationary faculty: annual reviews; for tenured faculty: periodic review as specified by institutional rules (often every five years or as determined). [Liberal Arts at Texas A&M University](#)

Who Conducts Review: Department/unit committees, college/Dean's Office, Provost/VP ASA, system board oversight. [Texas A&M University - Texarkana+1](#)

Rating Scale: The system may use categories like satisfactory/unsatisfactory or meets/does not meet expectations; exact numeric scale may vary by institution.

Documentation required: Faculty portfolio, unit criteria, annual performance reports, review committee reports. [University Rules and SAPs](#)

Decision Authority: Department chair/unit head for first level; Dean/Provost for college-level; System Board or Chancellor for major decisions including termination. [policies.tamus.edu](#)

Positive outcomes: Strong performance may support salary increases, promotion, tenure, enhanced allocation of resources.

Deficiency outcomes: Unsatisfactory performance may lead to remediation, change of appointment, or termination for cause under system rules. [Texas A&M University - Texarkana](#)

Appeals process: Policies include hearing committees and faculty rights; e.g., Texas A&M-San Antonio has hearing committee procedures for termination. [Texas A&M University - Texarkana](#)

Transparency and reporting: Institutions publish policies in Rules & SAPs; documents publicly available; institutional rights and obligations outlined in system regulations. [University Rules and SAPs](#)

Alignment with state oversight: As a state university system, the Regulation aligns with state law around tenure and higher education governance; institutional accreditation and state oversight frameworks apply.

Unique elements: System-wide regulation ensures consistency across multiple

campuses; includes detailed hearing and due-process rights for faculty; strong governance by System Board.

4. University of Florida – Post-Tenure Faculty Review (Regulation and Policy Hub)

Policy Name: Post-Tenure Faculty Review (University of Florida)
Purpose: To ensure productivity and accountability of tenured faculty through periodic comprehensive review, aligned with Board of Governors regulation. Policy Hub
Review Frequency: Every five years (or per institution's schedule) for each tenured faculty member. UNF Home
Who Conducts Review: Department chair/unit head, college dean, provost's office; institutional committee structure as defined in policy. Policy Hub
Rating Scale: Includes performance categories such as "exceeds expectations," "meets expectations," "does not meet expectations," and possible additional designations (varies by unit).
Documentation required: Portfolio of accomplishments in teaching, research, service; prior review materials; self-study; external reviews where applicable.
Decision Authority: University president or designee; board of trustees oversight; final decisions communicated in writing.
Positive outcomes: Continued appointment, merit increases or recognition, enhanced support resources.
Deficiency outcomes: Required development plan; if insufficient improvement, may lead to termination consistent with regulation.
Appeals process: Notification of decision; process for faculty response and review of decision as specified by institution.
Transparency and reporting: Policy publicly posted; institutional reporting to Board of Governors; review process included in academic affairs website. Policy Hub
Alignment with state oversight: Directly implements Florida BOG Regulation 10.003 and the Florida statute requiring post-tenure review. State University System of Florida
Unique elements: Implementation in a large public research institution; uses a five-year review window; balanced focus on accountability and faculty development; public accessibility of policy.

5. Florida State University – Chapter FSU-4 Faculty and Staff (specifically FSU Regulation 4.073 – Post-Tenure Faculty Review)

Policy Name: FSU Regulation 4.073 – Post-Tenure Faculty Review
Purpose: To conduct periodic, comprehensive review of performance of eligible tenured

faculty, assessing accomplishments relative to assigned duties and promoting faculty development. regulations.fsu.edu

Review Frequency: Five-year review period (the five years prior to the semester in which review occurs). regulations.fsu.edu

Who Conducts Review: Faculty member submits materials; department chair/unit head and college dean review; central university office oversees process. regulations.fsu.edu

Rating Scale: The policy outlines "Exceeds Expectations," "Meets Expectations," and "Does Not Meet Expectations" as performance rating categories. regulations.fsu.edu

Documentation required: CV of accomplishments, teaching summary, AOR table (Assigned/Other Responsibilities table), self-evaluation, other evidence of performance. Faculty Development Office

Decision Authority: Department chair and college dean, with final institutional decision through provost or designated office.

Positive outcomes: Recognition of strong performance; eligibility for merit, distinguished faculty awards, possibly additional resources or release time.

Deficiency outcomes: Faculty receiving "Does Not Meet Expectations" may be guided into improvement process; may impact salary and allocation.

Appeals process: Policy provides mechanism for faculty member to respond and for review of the chair/dean decision (not always detailed publicly).

Transparency and reporting: Review process and criteria are published in university regulation; eligible faculty notified of review schedule; summary data may be reviewed institutionally.

Alignment with state oversight: Conforms to Florida Board of Governors regulation and state statutory requirements for post-tenure review.

Unique elements: Use of structured templates and specialized tracking tools (e.g., Faculty Expertise and Advancement System (FEAS+)); explicit five-year window; strong emphasis on faculty development. Faculty Development Office

6. Indiana University – Post-Tenure Faculty Productivity and Annual Review Policy

Policy Name: Post-Tenure Faculty Productivity and Annual Review (Indiana University)

Purpose: To ensure that tenured faculty maintain productivity and engage in ongoing development, and coordinate with annual review processes for all faculty. University Policies

Review Frequency: Initial post-tenure review within five years of tenure grant, then every five years thereafter. Annual reviews continue for all faculty each year. University Policies

Who Conducts Review: Department/unit leadership (chair/unit head) for annual review;

University post-tenure review committees and administration for post-tenure.

Rating Scale: Policy uses performance categories such as "meets expectations," "does not meet expectations," "exceeds expectations." Specific numeric scale may not be publicly specified. University Policies

Documentation required: Faculty portfolio; prior annual review summaries; documentation of teaching, research, service; self-reflection.

Decision Authority: Department chair and dean for annual review; central university office or designated committee for post-tenure decisions.

Positive outcomes: Recognition of sustained high performance; access to professional development, potential resource allocation.

Deficiency outcomes: For faculty not meeting expectations, may initiate remediation plan, closer monitoring, potential consequences for continued underperformance.

Appeals process: Institutional policy includes faculty rights; details of appeal procedures are included in policy language (though publicly summarized).

Transparency and reporting: Policy publicly posted; review standards and schedule provided to faculty; university monitors aggregate data.

Alignment with state oversight: Indiana law requires periodic reviews of tenured faculty productivity; this institutional policy accommodates those requirements.

Unique elements: Integration of both annual and post-tenure review processes in one policy structure; emphasis on productivity and accountability of tenured faculty within a major multi-campus system.

Summary Table

Institution	Review Frequency	Who Conducts Review	Rating Scale / Categories	Decision Authority	Appeals Process	Transparency & Reporting
The Ohio State University	Annual for all faculty; For tenured faculty → review triggered by "does not meet expectations" conditions.	Department/Unit heads for annual; College/Dean/Provost for post-tenure.	Categories include "meets expectations", "does not meet expectations", and higher levels.	Provost and Board of Trustees for major decisions.	Policy includes appeals to dean then provost then hearing committee.	Annual and post-tenure processes publicly documented; compliance with state law.
University of Utah – Post-Tenure Review	Annual performance review for tenured faculty + in-depth every five years.	Academic Unit + Department Chair + Dean + Provost committees.	Uses categories such as "exceeds expectations", "meets expectations", "does not meet expectations".	College/Unit leadership and Provost's Office.	Faculty can respond, process defined in policy.	Policy publicly posted; units must document procedures; reporting requirement included.
Texas A&M University System	Annual reviews for tenured faculty; comprehensive review at least once every six years.	Department/Chair, College/Dean, Provost, Peer committee.	Categories include "satisfactory"/"unsatisfactory"; unsatisfactory triggers development plan.	Department/Dean, Provost, System Board for serious decisions.	Hearing committee/process defined for terminations or major decisions.	Review rules publicly available; institutional transparency emphasized.
University of Florida	Every five years for tenured faculty (or as defined)	Department chair/unit head, college dean, central university office	"Exceeds", "Meets", "Does Not Meet Expectations"	University President/Designee; Board oversight	Institutional policy provides for faculty response and review of decision	Policy publicly posted; aligned with state regulation (BOG)
Florida State University	Five-year review period for eligible tenured faculty	Faculty submits portfolio; Chair/Dean/unit review; Provost's Office oversight	"Exceeds Expectations", "Meets Expectations", "Does Not Meet Expectations"	Department/Dean, Provost final decision	Policy includes faculty response; appeal details per regulation	Procedure published in university regulation; eligible faculty notified; aligned with state oversight
Indiana University	Annual review for all faculty; initial post-tenure within five years then every five years thereafter	Department/unit leadership for annual; central committee/unit for post-tenure	Performance categories similar to "meets expectations" etc.	Department/Dean; central review for post-tenure decisions	Faculty rights and appeal rights included in policy	Policy publicly available; state law requires tenured faculty productivity review

Shared Governance Committee Report – November 3, 2025

Communication Proposal
Background
At the recent Faculty Senate retreat, senators identified communication as a key area for strengthening shared governance. Faculty across colleges expressed a desire for clearer, more consistent two-way communication — both from constituents to their representative senators and from the Senate to the broader faculty body. Improved communication was recognized as essential to enhancing transparency, engagement, effectiveness, and trust in governance processes.

Committee Discussion
The Shared Governance Committee reviewed these concerns and affirmed that effective communication is foundational to shared governance. The committee discussed several potential tools, including a guide for senators on connecting with constituents and a concise, post-meeting summary to share key Senate actions with faculty. However, to ensure a comprehensive and sustainable communication strategy, the committee recommends that the Senate appoint a small working group or individual(s) to develop and implement this initiative.

Action Item
The Shared Governance Committee recommends that the Faculty Senate:
Vote to appoint a person or small group to assist in developing a Faculty Senate communication strategy, with the goal of improving the flow of information between senators and their constituents. This group/individual would be charged with:
• Drafting tools and templates for senators to communicate with their colleges.
• Proposing a method for post-meeting summaries or Senate newsletters.
• Collaborating with the Senate Chair to circulate communications to Faculty Senators.

Questions of shared governance
On Monday, October 27, 2025 the UK PR office released a number of new ARs and university policies, some of which had been previously reviewed by faculty in their draft forms. Questions for senators:
1. **How do we communicate back to faculty constituents regarding their feedback to the draft ARs?**
2. **What do we want to do moving forward when batches of draft ARs are released?**