

PART II

GOVERNANCE OF THE UNIVERSITY OF KENTUCKY

The governance of the University of Kentucky is vested by law in the Board of Trustees. (KRS 164.131) Within the limits set by the State Constitution and the federal and state laws,\* the Board of Trustees is the final authority in all matters affecting the institution, and it exercises jurisdiction over the institution's financial, educational, and other policies and its relation with the state and federal governments. The Board has the same powers with respect to the community colleges that it has to the University of Kentucky in general. (KRS 164.595)

These Governing Regulations of the University of Kentucky describe the composition, powers, and duties of the Board of Trustees of the University of Kentucky, as defined by Kentucky Statutes, and establish policies and procedures for the performance of its functions. In the Governing Regulations, the Board of Trustees has delegated certain responsibilities to the President, ~~and the University Senate, the Graduate Faculty, and the faculties of the colleges, schools and departments,~~ in order to provide for the responsible and efficient administration of the University System and the accomplishment of its goals. At an institution-wide level, the Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University.

Reflects Board's direct delegation to the respective educational units in GR VII.A.3, A.4, A.5, A.6

Reflects Board's description of Senate in GR II; its delegation of policy-making to Senate at GR III

Within the limits set by the University Senate and the Board of Trustees, the Graduate Faculty is delegated primary jurisdiction over programs leading to graduate degrees and has the responsibility to safeguard, promote and assist in the development of research in all fields.

Reflects Board's delegation of policy-making to Graduate Faculty in GR VIII.A.3

Within the limits set by the institution-wide policies of the Board, Senate and Graduate Faculty, the faculties of the colleges, schools and departments exercise a faculty governance role as the University agencies delegated with the primary policy-making responsibilities for the instructional, research and service programs of these educational units.

Reflects Board's description of, and delegation of educational policy-making to, these units in GR VII.A.4, GR VII.A.5, GR VII.A.6, and GR VIII.A.9

As the chief administrative officer of the University, the President is authorized by the Board to promulgate the Administrative Regulations and the Human Resources Policy and Procedure Manual which provide interpretation and implementation of these Governing Regulations and of the Minutes of the Board and which delineate policies within the sphere of delegated responsibility. The respective chief administrative officers of educational units are similarly authorized to establish unit policies and procedures attendant to the administrative responsibilities that each has been delegated.

Reflects delegation of authority to President here, and to deans, directors, chairpersons in GR VII.B.3, B.4, B.5, B.8, to promulgate policies in their given administrative roles for implementation and management.

The University Senate, the Graduate Faculty, and the faculties of educational units are is authorized to issue rules ~~implementing concerning the particular responsibility-policy- and procedure-making responsibilities that are~~ delegated to ~~it each~~ in these Governing Regulations ~~or that are subdelegated by respective higher policy-making governance bodies. Likewise, the Senate of the Community College System is authorized to issue rules implementing the responsibility delegated to it in these Governing Regulations.~~

Reflects the hierarchy of authority the respective faculty bodies to promulgate educational policies and procedures, as prescribed in GR IV, GR VII.A.4, A.5, A.6 and A.9

Where appropriate, the detailed rules and regulations appearing in the Administrative Regulations, the Human Resources Policy and Procedure Manual, and the Rules of the University Senate, ~~and the Rules of the Senate of the Community College System,~~ should refer to the source or sources in the Governing Regulations or Minutes of the Board, so that interested persons seeking guidance will find it necessary to consult only the Administrative Regulations, the Human Resources Policy and Procedure Manual, and the Rules of the University Senate ~~or the Rules of the Senate of the Community College System.~~

Reflects that the UK CC System Senate no longer exists

\* The Council on Postsecondary Education in Kentucky (KRS 164.020) has powers and duties that relate to the governance of the University of Kentucky. These powers and duties are listed in the Appendix to these regulations.

A. Board of Trustees

1. Definition

The Board of Trustees is a body corporate, under the name of Board of Trustees of the University of Kentucky, with the usual corporate powers, and possesses all the immunities, rights, privileges, and franchises usually attaching to the governing bodies of educational institutions. It may receive, hold, and administer, on behalf of the University, subject to the conditions attached, all revenues accruing from endowments, appropriations, allotments, grants or bequests, and all types of property. (KRS 164.160)

No member of the administrative staff of the University shall be directly or indirectly interested in any contract with the University for the sale of property, materials, supplies, equipment, or services, with the exception of compensation to the two faculty members. (KRS 164.131)

No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (45A.340(7))

No member of the Board of Trustees may be held to be a public officer by reason of membership on the Board except as provided in KRS 45A.335 for the purpose of KRS 45A.340. (KRS 164.150)

All necessary expenses incurred by the Trustees in traveling to and from and while attending meetings of the Board of Trustees are designated to be paid out of the funds of the University. (KRS 164.170)

2. Membership

The Board of Trustees of the University of Kentucky consists of sixteen members appointed by the Governor, two members of the faculty of the University System who shall have the right to vote on all matters except that of faculty compensation, one member of the University System nonteaching personnel, and one member of the student body of the University of Kentucky. The terms of the appointed members shall be for six years and until their successors are appointed and qualified, except the initial appointments shall be as follows: two members shall serve one-year terms; two shall serve two-year terms, one of whom shall be a graduate of the University; three shall serve three-year terms; three shall serve four-year terms, one of whom shall be a graduate of the University; three shall serve five-year terms and three shall serve six-year terms, one of whom shall be a graduate of the University. Three of the appointments shall be graduates of the University and may include one graduate of the institution who resides outside the Commonwealth; three shall be representative of agricultural interests;

and ten shall be other distinguished citizens representative of the learned professions. The Governor shall make the appointments so as to reflect proportional representation on the Board of the two leading political parties of the Commonwealth based on the state's voter registration and to reflect no less than proportional representation of the minority racial composition of the Commonwealth. Appointments to fill vacancies shall be made for any unexpired terms in the same manner as provided for the original appointments. (KRS 164.131)

Each graduate member is appointed by the Governor from a list of three names submitted by the alumni of the University according to rules established by the Board of Trustees. (KRS 164.131; KRS 164.140)

The two faculty members representing the University System of the University of Kentucky shall be members of the faculty of the University System of the rank of assistant professor or above, elected by secret ballot by all faculty members of the rank of assistant professor or above in the University System. Faculty members shall serve for terms of three years and until their successors are elected and qualified. They are eligible for re-election but are ineligible to continue to serve as members of the Board if they cease to be members of the faculty of the University System. Elections to fill vacancies for any unexpired terms shall be held in the same manner as for the original elections. The authority to develop procedures for the election of faculty members of the University System to serve as members of the Board in accordance with the provisions of KRS 164.131 is hereby delegated to the University Senate.

Staff members eligible to vote and eligible to serve as an elected member of the Board of Trustees shall be those regular, full-time staff of the University of Kentucky, as defined in Staff Personnel Policy and Procedure Administrative Regulations, Number 4.0: Employee Status, excluding the president, vice presidents, academic deans and academic department chairpersons. The staff member shall represent all nonteaching university employees. The staff member shall be elected by secret ballot by the nonteaching employees. The staff member shall serve a term of three (3) years and until a successor is elected and qualified. The staff member shall be eligible for reelection, but a staff member who ceases being an employee of the university shall not be eligible to continue to serve as a member of the board. Elections to fill vacancies shall be for the unexpired term and shall be held in the same manner as provided for the original election. The authority to develop procedures for the election of a staff member of the University System to serve as a member of the Board in accordance with the provisions of KRS 164.131 is hereby delegated to the Senior Vice President for Administration.

The student member shall be the president of the student body of the University during the appropriate academic year and may be an out-of-state resident if applicable. If the student member does not maintain the position as student body president or the status of a full-time student at any time during that academic year, a special election shall be held to select a full-time student. The student member shall serve for a term of one year beginning with the first meeting of the fiscal year which contains that academic year. (KRS 164.131)

The number of student and employee members elected to the University of Kentucky Board of Trustees shall not exceed four. (KRS 164.131)

### 3. Meetings

The Board of Trustees must hold at least four regular meetings per year. Dates designated by law are: the Tuesday preceding the regular annual Commencement of the University; the third Tuesday in September; the second Tuesday in December; and the first Tuesday in April. Special meetings may be called by the chairperson or by any three members upon giving ten days' written notice to each member of the Board. The business to be transacted at special meetings shall be specified in the notice of the meeting. All meetings are to be held on the campus of the University unless otherwise specified by a majority vote of the Board. A majority of the voting members of the Board constitutes a quorum. (KRS 164.170)

The Board of Trustees may adjourn any regular or called meeting to any date that it may set for such adjournment. Any meeting of the Board, if a quorum is not present, may be adjourned by the members attending to a time when a quorum shall be present. The meetings of the Board of Trustees are required to be open to the public. The Board is required to arrange for a stenographic transcript of each of its meetings to be prepared and filed, to send an agenda for each of the meetings to each member of the Board, and to make a copy available to the press. (KRS 164.170)

The President of the University shall attend all meetings of the Board of Trustees and of its Executive Committee except when the Executive Committee is meeting as a hearing panel or as a performance review committee.

### 4. Officers

The chairperson, vice chairperson, secretary, and assistant secretary of the Board of Trustees shall be elected annually at the September meeting of the Board. The Chairperson of the Board of Trustees shall be limited to no more than four consecutive terms as Chair. In the absence of the chairperson, the vice chairperson presides. The secretary keeps the Minutes of all meetings, issues notices of meetings, and provides for the publication and distribution of the Minutes in accordance with instructions from the Board. The secretary is responsible for the maintenance of an official revised copy of these Governing Regulations and for the publication of revisions from time to time. The assistant secretary is empowered to perform the duties of the secretary when the secretary is not present on the Lexington campus of the University and at such other place or places as are required for the efficient performance of the secretary's duties. The assistant secretary need not be a member of the Board of Trustees.

### 5. Committees

STANDING COMMITTEES:

The purpose of standing and special committees is to assist the Board in its oversight role by gathering information, discussing, and providing advice on policy proposals prior to their coming before the entire Board. Membership of standing committees shall include at least five members of the Board including the committee chair and shall be appointed by the Chairperson of the Board soon after the election of officers in September. The Academic Affairs Committee shall not be chaired by either faculty trustee, the Student Affairs Committee shall not be chaired by the student trustee nor shall the Human Resource Committee be chaired by the staff trustee.

a. EXECUTIVE COMMITTEE

The Board of Trustees annually elects an Executive Committee of five members, which has the powers that the Board delegates to it as spelled out in KRS 164.190. This election shall be held at the September meeting of the Board. Vacancies may be filled at any meeting of the Board. The Chair of the Board of Trustees shall be one of the five members and shall also serve as Chair of the Executive Committee. In general, the Committee exercises oversight of the financial and business interests of the University and possesses the same powers as the Board during the periods between meetings of the full Board.

Meetings may be held as necessary at the call of the chairperson. The secretary of the Board of Trustees acts as secretary, *ex officio*, of the Executive Committee. The President of the University shall attend all meetings.

The Executive Committee is required to submit to the Board of Trustees at each meeting, for the latter's consideration and approval, a complete record of the proceedings of the Executive Committee. The authority of the Board to amend the action of the Executive Committee does not extend to the rejection of any valid or authenticated expenditure of money by the Executive Committee. (KRS 164.190) The Executive Committee shall serve as a hearing panel in the event of a faculty, student or employee appeal coming to the Board. The Executive Committee shall also serve as a hearing committee in the event of a community member or group desiring to address the Board. (AR II-1.0-4)

The Executive Committee shall serve as the performance review committee for the President, setting and reviewing goals each fiscal year. The Executive Committee shall involve the entire Board in this evaluation process and shall also solicit input from the Executive Committees or Councils of the University Senate, Staff Senate, and Student Government Association, in the annual performance reviews, in reappointments of the President and in extensions of the President's contract.

Clarifies shared governance advisory roles of Senate, Staff and Student executive committees

b. ACADEMIC AFFAIRS

Shall review recommendations to the Board on policy matters pertaining to the academic mission of the University in teaching, research, and public service as well as academic freedom and tenure and shared governance. Will review proposals from the President to ensure the academic programs are consistent with the University's mission, that resources are available

to achieve academic priorities as set forth in the Strategic Plan, that academic programs are appropriate for its student needs and that the University has a system in place for assessing the effectiveness of its academic programs. Will review new program proposals and changes in the academic units or in the academic organization to ensure the program proposals, ~~and~~ changes, or organization will effectively carry out the academic mission and provide information to the Board if needed when new programs or changes in academic units or in academic organization are recommended to the Board for approval. Shall review the list of candidates for academic degrees approved by the faculty of the university faculty for submission to the Board pursuant to KRS 164.240, and provide information to the Board if needed when degree candidates are recommended for approval.

Clarifies academic areas of the committee's

Clarifies committee activities on degrees in relation to faculty role for degrees under state law

c. STUDENT AFFAIRS

Shall accept and review recommendations from students, faculty and administrators regarding revisions of the Code of Student Conduct. Shall review recommendations concerning the general welfare of students and the adoption of rules, procedures, rights, and responsibilities governing non academic relationships between the University and its students.

d. HUMAN RESOURCES

Shall review recommendations to the Board regarding policies pertaining to employee benefits, rights and privileges requiring Board approval.

e. UNIVERSITY RELATIONS

Shall review recommendations relating to the economic, social, and public policy environments within which the University operates that directly affect the University. Shall review policies or policy proposals regarding marketing and development as well as public, governmental, and alumni relations.

f. INVESTMENT

Under delegation from the Board and consistent with KRS 164A.550 through 164A.630, the Investment Committee shall be responsible for review and oversight of the endowment investment programs of the University and its affiliated corporations. This responsibility includes: formulating and reviewing investment policies; appointing, monitoring and evaluating investment managers and consultants; and reviewing and approving plans for the general management of the endowment funds of the University.

The Investment Committee Chairperson will report to the Board after each meeting of the Committee on the performance results of endowment investments. Policies of the Committee are implemented by the Office of Controller and Treasurer in carrying out the day-to-day operations of the University's endowment funds.

g. FINANCE

Shall ensure the financial stability and long-term economic health of the University by monitoring the financial operations of the University and its affiliated corporations and making appropriate recommendations to the Board to ensure achievement of the University's mission. Consistent with KRS 164A.550 through 164A.630, the Committee maintains oversight responsibility for the financial management of the University in the areas of accounting, auditing, payroll, purchasing, capital construction, real property and affiliated corporations. In particular, the Committee shall: oversee the budgets of the University, reviewing and recommending to the Board on the annual Operating and Capital Budgets; ensure that accurate and complete financial records are maintained by reviewing and recommending to the Board on annual financial reports and related recommendations from the Audit Subcommittee, interim financial reports, capital construction reports, long-term debt obligations, gifts to the University of \$100,000 or more, leases over \$30,000 per year, disposition of property, sale of assets, and financial transactions not provided for in the annual operating budget.

The Audit Subcommittee shall recommend to the Finance Committee on the appointment of the external auditors, receive and review the annual reports from the external auditors and make recommendations to the Finance Committee concerning these reports.

#### h. NOMINATING

Shall nominate officers of the Board and members of the Executive Committee. Shall review and recommend the appointment of Trustees to the boards and committees of the University and its affiliated entities..

#### i. SPECIAL COMMITTEES

Special committees may be established and appointed at any time by the Chairperson of the Board and with such charge as the Board Chair may determine. They shall carry out their duties as specified and report to the Board. They will function until discharged. Membership will include Trustees and may also include persons who are not Board members.

#### 6. Powers and Responsibilities

The powers and responsibilities of the Board of Trustees include the following:  
It may establish proper regulations for the governance of the University and the physical training, military or otherwise, of the students. It may authorize the suspension and dismissal of students for neglect or violation of the regulations or for other conduct prejudicial to the character and welfare of the University. (KRS 164.200)

It may determine from time to time the colleges, schools, divisions, departments, bureaus, and offices which shall comprise the University within the scope of the Acts of Congress approved July 2, 1862, and Acts supplementary thereto, and the relation which each division shall sustain to each other division and to the whole. It may devise, allot, and arrange

the distribution of divisions with the designation appropriate for each, and devise the means required for their effective instruction, administration, and governance. (KRS 164.210) It may appoint a president, professors, assistants, tutors and other personnel and determine the compensation, duties, and official relations of each. In appointments of presidents, professors and instructors no preference may be shown to any religious denomination.\* It is required to provide compensation for all positions created and filled by the Board. It may provide for employee retirement benefits and such other employee benefits as are related to the respective employments and services furnished. Retirement plans may include, but without limitation, the retirement ages, the benefits of employees including group insurance, annuities, establishment of a trust fund or funds, and, the amounts to be paid or contributed by employees and the amounts to be paid or contributed by the University of Kentucky, and other appropriate terms and provisions with respect thereto. (KRS 164.220) It is further designated as an independent agency and instrumentality of the Commonwealth and given exclusive jurisdiction of the appointments, qualifications, salaries and compensation payable out of the State Treasury or otherwise, promotions, and retirement programs described. (KRS 164.225)

It has full power to suspend or remove any of the officers, teachers, professors, or agents that it is authorized to appoint, except that no president, professor, or teacher may be removed except for incompetence, neglect of or refusal to perform duties, or for immoral conduct, and then only after ten days' notice in writing stating the nature of the charges preferred, and after the individual has been given an opportunity to make defense before the Board by counsel or otherwise and to introduce testimony which shall be heard and determined by the Board. (KRS 164.230)

It may grant degrees to graduates of the University, prescribe conditions upon which postgraduate honors may be obtained, and confer such honorary degrees upon the recommendation of the faculty of the University as it deems proper. (KRS 164.240) It is required to make a full report to the General Assembly, within the first month of each regular session, of the condition and operation of the University since the date of the previous report, with such recommendations concerning the University as are deemed necessary. (KRS 164.250)

It may acquire additional lands or other property or material for the purpose of expanding its plant and extending its usefulness. When unable to contract with the owner of land or other property or material necessary for the purposes of the University, it may acquire the same by condemnation proceedings in the manner provided in KRS 416.010 to 416.080. (KRS 164.260)

\* See Parts X.A and XII.A



It may dispose of real estate held by the Commonwealth for the use or benefit of the University or the Kentucky Agricultural Experiment Station as authorized in KRS 164.270 and KRS 45.360.

## 7. Order of Business

The order of business at meetings of the Board of Trustees shall be as follows:

Call to Order

Invocation

Roll Call

Reading and Approval of Minutes with Necessary Modifications

Report of the President

Consideration of President's Recommendations for Action

Consideration of President's Discussion Items

Reports of Committees

Other Business

Adjournment

General parliamentary rules shall be observed in conducting the business of the Board of Trustees except as these may be modified by rules and regulations adopted by the Board.

### B. Community College Board of Directors

(1) There shall be a board of directors for each community college under the Kentucky Community and Technical College System, except as provided in KRS 165.160.

## PART III

## THE PRESIDENT OF THE UNIVERSITY

The President is the chief executive officer of the University and has full authority and responsibility over the administration of the academic, business, and fiscal operations of the University. It is the duty of the President to make recommendations relating to the general policies of the institution and to the maintenance of coordination among its several functions. It is also the President's duty, directly or through the various University officers, to supervise and administer all phases of the University's operations, both business and academic, including all departments, divisions, and colleges, and to perform all other administrative functions, whether expressly enumerated herein or not, necessary or appropriate for the effective operation of the University.

The President is responsible for the preparation of the biennial budget request and the annual budget for approval by the Board of Trustees and for the administration of the annual budget after approval by the Board. In the administration of the annual budget, the President shall exercise authority delegated by the Board for the transfer of funds within major fund groups, provided that all such transfers of funds shall be reported to the Board.

The President may delegate any of the President's assigned authorities or responsibilities to another person in the Office of the President, or to any other member of the administrative staff or faculty of the University. The President shall, however, have the prior consent of the Board of Trustees before delegating major areas of authority or responsibility.

The Provost, vice presidents, deans, directors, and all other subordinate administrative officers shall be subject to the supervision and direction of the President.

Subject to the regulations of the Board of Trustees, the President officially speaks for the University before all federal, state, and local government offices, boards, and agencies and is the non-voting representative of the University on the Council on Postsecondary Education.

The President is chairperson of the University Senate and an ex officio member of the various college faculties and may call meetings of the University Senate, [the Staff Senate](#), the University Assembly, and any college faculty. [Reciprocally, the President may be requested to address a meeting of the University Senate, the Staff Senate or a college faculty.](#)

Makes consistency with President's role as Chair person of Senate; Provides shared governance reciprocity on calling of meetings of faculties; Updates for existence of staff senate

The President is responsible for fostering and promoting instruction, research, and service as the primary functions of the University. In this connection the President may make policy recommendations to the Board of Trustees and the University Senate, which are recognized as the primary educational policy-forming agencies of the University. The President must, of necessity, in the day-by-day direction of University affairs, interpret existing policies and, in

some degree, establish new policy with respect to both educational and business and financial matters. Such policy determination shall be within the scope of the President's authority.

While responsible for the enforcement of the rules and regulations of the Board of Trustees and the University Senate, the President also shall provide for the application of these rules and regulations to individual cases. Under extraordinary circumstances, and with written justification to the Senate through the Senate Council, the President may suspend a rule of the University Senate in a particular case, however, under no circumstance may the President suspend rules concerning admission and the number of credits and quality points required for graduation

The President shall serve as the official medium of communication between the Board of Trustees, on the one hand, and the University Senate, administrative officers, individual members of the faculty and staff, student organizations, and students on the other hand. In this connection it shall be the President's responsibility to transmit to the Board all formal communications from the University Senate, [the Staff Senate](#) and the Student Government Association along with the viewpoints of the body submitting a communication, including any minority opinions, and the President's own recommendations for action.

Updates for existence of staff senate

Incident to the administration of the University, the President may utilize subordinate administrative officers as appropriate. The President may appoint, or have appointed, temporary or standing advisory or administrative committees and, with the approval of the Board of Trustees, may establish academic and/or administrative councils.

In the event of a vacancy in the office of President or disability of the President, the Provost shall exercise the functions of the President in the absence of the appointment of an Interim President by the Board of Trustees. If the Board finds it desirable to appoint an Interim President, it shall seek advice from a joint Board-Faculty committee if such has been constituted to recommend the appointment of a President or, if the committee has not been constituted, from the ~~University Senate Council~~. [Executive Committees or Councils of the University Senate, Staff Senate and the Student Government Association.](#)

Updates for existence of Staff Senate; Makes consistent with role previously established elsewhere for shared governance advisory input of these three bodies on personnel matters of the President

PART IV

THE UNIVERSITY SENATE (UNIVERSITY SYSTEM)

The University Senate shall be composed of faculty, emeriti faculty, student and ex officio members.

The faculty members shall number 94, one member shall represent the emeriti faculty, and 19 members shall represent the student body. With the exception of emeritus and ex-officio representatives, senators shall be full-time faculty or students selected in accordance with the Rules of the University Senate. The one elected emeritus faculty member shall represent the University of Kentucky Association of Emeriti Faculty.

In even numbered academic years, the ex officio voting members of the Senate shall be composed of the following: Provost, Vice President for Research, ~~Senior Vice President and Chancellor of the Medical Center~~, Director of Libraries, Director of Teaching Learning Center and Deans of the Colleges of ~~Allied Health Professions~~ Health Sciences, ~~Architecture Design~~, Communications and Information Studies, Dentistry, Education, Engineering, Law, and Social Work odd numbered academic years, the ex officio voting members shall be the following: Provost, President of the Lexington Community College, ~~Associate Vice President for Academic Affairs for the Medical Center~~, Dean of the Graduate School, Dean of Undergraduate Studies and Deans of the Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Human Environmental Sciences, Medicine, Nursing, and Pharmacy.

Changes reflect change to Provost System and changes in names of colleges

The ex officio non-voting membership shall include the President, all other vice presidents, Associate Provost for Minority Affairs, University System Registrar, Associate Provost for Undergraduate Education ~~for the Lexington Campus~~, and Director of Admissions, Dean of University Extension, Dean of Students, Professor of Military Science, Professor of Aerospace Studies, Director of the University Studies Program, and, if they are not already elected members of the Senate, the University System faculty members of the Board of Trustees, the Academic Ombud, the Director of the Honors Program, and the chairpersons of the University Senate Committees, including University Senate Advisory Committees. All officials mentioned in the preceding paragraph who are not ex officio voting members in any year shall be considered ex officio non-voting members. Other ex officio non-voting members may be added by the University Senate Council for the purpose of supplying information and viewpoints on problems considered by the Senate. Ex officio non-voting members shall enjoy all privileges of the elected membership except the right to vote.

Reflects change to Provost System

The Senate is authorized to develop rules for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. The elected faculty membership of the Senate is authorized through its election to act as the quorum for the University faculty in performance of those faculty governance actions reserved by law to “the faculty of the university” (KRS 164.240). The entire University Senate membership is the authorized agency to perform all other nonstatutory functions delegated by the Board to the University Senate. It may perform its functions directly, through the Senate Council\*, through standing or special committees which it may appoint or authorize for appointment, or through delegation of authority and responsibility

Clarifies which senators perform those responsibilities of the faculty arising under state law vs which senators perform those responsibilities arising to the Senate by delegation from Board

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\* Members of the Senate Council will remain members of the Senate until the end of their terms on the Council. They will not be counted as a part of the quota of the administrative unit that they have represented nor of the maximum membership of the Senate after the expiration of their elected memberships.

to the faculties of the Graduate School, or the faculties of the colleges, schools, departments, centers and institutes. Standing committees of the Senate, responsible to the Senate, shall be appointed by the Senate Council unless other methods of appointment have been authorized by the Senate.

Reflects long-time practice in Senate Rules to also delegate to faculty bodies below level of college

The Senate also may establish Senate advisory committees which shall be responsible, in an advisory capacity, to the President or other administrative officer(s), or to administrative or academic unit(s). These committees also shall be responsible to the Senate for reporting upon issues which bear upon the functions of the Senate and for making recommendations for action. Senate advisory committees shall be appointed by the President from nominations made by the Senate Council ~~or following consultation with the Council~~.

Reflects that if Senate academic committees can advise administrative units, it only makes sense that they can also advise academic units.

The President shall be the chairperson of the Senate and shall be the presiding officer except as the President may delegate this function. As its chairperson, the President may be called upon by the University Senate to address or represent the University Senate or to transmit its recommendations.

Reflects reciprocal arrangement in shared governance and the parliamentary consequence of President being Senate Chairperson

~~The University Registrar shall serve as ex-officio secretary.~~ **The Vice Chair of the Senate Council serves as secretary of the Senate, except as the Senate determines otherwise.** A member of the University faculty (not necessarily a member of the Senate), appointed by the Senate Council, shall serve as parliamentarian. The two sergeants-at-arms, appointed by the Senate Council, shall be members of the University System faculty and/or staff. The Senate shall hold regular monthly meetings during the academic year when classes are in session and, after adequate notice by its secretary, special meetings on the call of the President or the Senate Council or on the written request of ten (10) members.

Reflects previous administrative removal of Registrar from this Senate function; Senate Rules have since assigned this duty to SC Chair

Any member of the administrative, instructional, ~~or~~ research, or service faculty or staff may attend a meeting of the Senate as a visitor and request the privilege of the floor.

Reflects University's current educational missions in teaching, research and service

The functions of the University Senate shall include the following:

Current language contradicts other Gov. Regs. stating that the Senate makes only "rules"

Determine the broad academic policies of the University System and make ~~regulations~~ rules to implement these policies.

Approve all new academic programs, curricula, ~~and~~ courses, certificates and diplomas offered in the University System, and all changes recommended thereto, or their abolition.

Reflects full role of Senate as now implemented in Senate Rules; Reflects consistency with SACS requirements on approval role of faculty in curricular matters

Adopt policies for the University System academic calendar and ~~approve~~ establish the annual calendar ~~as prepared~~ upon recommendation by the University Registrar.

Clarifies that in shared governance Senate has approval role and Registrar has recommending role on academic calendar

Governing Regulations

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Recommend to the ~~Chancellor and~~ President and Provost on the establishment, alteration ~~and~~ abolition, and reporting relationships of educational units in the University System

Reflects President's direct communication with Senate as Senate Chairperson and Provost's advisory role to the President

Advise the President or the President's designated officer on the planning for physical facilities, ~~and~~ staff or other resources when these may affect the attainment of educational al objectives of the University System.

Reflects current administrative use (shared governance) of Senate input on other resources, e.g., tuition increases.

Advise the President or the President's designated officer, through appropriate committees, on criteria, policies and procedures for performance review, appointments, reappointments, promotions, ~~and~~ granting of tenure, and benefits to faculty in the University System.

Reflects long-time practice of Senate to directly advise President (shared governance) also on policies and procedures for all faculty personnel matters

Determine the conditions for admission and for degrees, other than honorary degrees, in the University System. ~~;~~ pursuant to KRS 164.240.

Reflects contribution of state law to the authority of university faculty in prescription of conditions for award of degrees

Recommend to the Board (through the Senate Chairperson, the President) all candidates that the Senate has approved for degrees in the University System. ~~;~~ pursuant to KRS 164.240.

Reflects that state law confers to "the faculty of the university" the authority to control, through its judgmental recommendation, which candidates names will reach the Board

Beyond those incident to the governance functions listed in the above, the Senate shall have no management or administrative functions either in itself or through the instrumentality of its committees.

Reflects the Board's partition, since 1943, of faculty's academic policy-making functions from the administration's implementation and management functions

The University Senate may address the President or, through the President, the Board of Trustees, regarding any University matter.

(Informational note: This regulation reflects that when the President, as the Senate's Chairperson, addresses the Board, then Senate, through its Chairperson, is addressing the Board).

## PART VII

## UNIVERSITY ORGANIZATION

For the purpose of administering the various programs of the University, there shall be established educational and administrative units within the University. All units of the University shall be established, altered, or abolished only on vote of the Board of Trustees. For matters having to do with the organization of the University as it affects academic policies, the Board relies upon the advice of the University Senate along with that of the President. It relies upon the advice of the President concerning administrative organization and powers and responsibilities of the officers of the University.

The educational-administrative organization of the University shall be such as to minimize duplication of effort and to enable the University to operate as a single, closely integrated institution, not as a loose association of colleges and departments. Barriers between educational and administrative units shall not be allowed to interfere with the academic purposes of the institution.

A. Educational Organization1. Definition

The basic organization of the educational units of the University System shall be departments, schools, colleges, graduate centers, and multidisciplinary research centers and institutes.

The unit of the University System for instruction, research, and extension in a defined field of learning is the department, school, or college. All courses shall be given by the regular instructional units. However, interdisciplinary instructional programs may be established to utilize courses and faculty from different departments, schools, and colleges. The chief administrative officer of a department or interdisciplinary instructional program is a chairperson.

The term "school" is used to refer to: (1) the Graduate School; and (2) an ~~administrative~~ educational unit within a college which is under the general direction faculty of that college. The chief administrative officer of a school that is an ~~administrative~~ educational unit within a college is an associate dean or director.

Eliminates contradiction with all other places in Gov. Regs. stating that a School is an "educational unit."

The Honors Program is an educational unit which is equivalent to a department. Its chief administrative officer is a director who is equivalent to a department chairperson.

A graduate center is an educational unit of an interdisciplinary or multidisciplinary nature, which is equivalent to a department, and is located administratively in the Graduate School. It is associated exclusively with graduate programs and their attendant courses and



research. Its faculty have primary appointments within a college or, in some cases, within the center.

A multidisciplinary research center or institute is an educational unit established for the administration of multidisciplinary programs which are primarily research in nature. Such an educational unit is administratively responsible to the Vice President for Research unless the administrative responsibility specifically has been delegated otherwise. The chief administrative officer of a multidisciplinary research center or institute is a director.

In some cases, the terms "bureau" and "office" may be used for units with some research functions, especially when these are not intercollege or interschool in nature. A college is a major educational unit of the University. Its chief administrative officer is a dean.

The basic organization of the educational units of the Community College System shall be divisions and colleges.

The unit of the Community College System for instruction and community service in related fields of learning is the division. The chief administrative officer of a division is a chairperson.

The individual community colleges are the major educational units of the Community College System. Lexington Community College is a unit of the Community College System; however, it is managed as a unit in the University System of the University of Kentucky and shall be represented in the University Senate. The chief administrative officer of a community college is a president.

## 2. Academic Ranks

Academic ranks in the University System shall consist of instructor, assistant professor, associate professor, professor, and other ranks that are fully or partially equivalent to these recognized ranks.

Academic ranks in the Community College System shall include Instructor in the Community College System, Assistant Professor in the Community College System, Associate Professor in the Community College System, Professor in the Community College System, and other ranks that are fully or partially equivalent to these recognized ranks.

Ranks and special titles and a description of the qualifications for each shall be established by the President after consultation with appropriate administrative and faculty groups, including the Senate Council and/or the Community College Council. Likewise, emeritus ranks for retired administrative and academic personnel and the rights of holders of emeritus titles shall be established by the President after consultation with the Senate Council



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and/or the Community College Council. The establishment of new ranks and major changes in criteria for ranks shall have the approval of the Board of Trustees.

### 3. The Graduate Faculty (University System)

The Graduate Faculty shall consist of the Dean of the Graduate School, associate and/or assistant deans of the Graduate School, regular members, and associate members.

Graduate Faculty members must possess the following qualifications:

A doctor's degree or its equivalent in scholarly reputation;

The rank of assistant professor (or equivalent) or higher;

Scholarly maturity and professional productivity as demonstrated by publications, editorial services, research surveys, creative work, patents, and research in progress at the time of appointment; and

Definite interest in graduate work and the willingness to participate in the graduate program.

Appointment to ~~Membership~~ regular membership in the Graduate Faculty is conferred by the Dean of the Graduate School. The appointments are made following review by the Graduate Council of the qualifications of the persons proposed for membership by the college deans, department chairpersons, and directors of graduate study upon the recommendation of the faculty in the respective graduate program.

Associate and other classes of members in the Graduate Faculty or in other faculty bodies or councils of the Graduate School may be appointed by the Dean of the Graduate School or elected, with appropriate duties and privileges as provided by the rules of the Graduate School\_ and approved by the University Senate.

Members of the Graduate Faculty shall have assignments of duties that take into account the time necessary for graduate teaching, productive research, and service in the direction of graduate research and preparation of theses.

The Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees within the limits established by the Board of Trustees and the policies and rules of the University Senate. It is the responsibility of the Graduate Faculty to safeguard, promote, and assist in the development of research in all fields. The Graduate Faculty shall make recommendations to the University Senate on academic matters that require the approval of the body and may make recommendations on other matters to the University Senate, college or departmental faculties, the President or other administrative officers. ~~to the President or an officer designated by the President on administrative matters.~~

The Graduate Faculty may perform its functions directly, through the Graduate Council, ~~or~~ through standing or special committees which it may appoint or authorize for appointment\_ or through delegation to college, school, departmental or center graduate program faculties.

Makes consistency with terminology elsewhere referring to "regular" vs. "associate" members

Clarifies rank of the membership involved

Clarifies that the program faculty have a shared governance role with the administration in this process; i.e., is not a unilateral administrative process

Makes consistency with parallel language below for other educational units (colleges, schools, depts.)

Makes language consistent with current practice in Graduate Bulletin and Senate rules.

The Graduate Council shall have the authority and responsibilities delegated to it by the Dean of the Graduate School, the Graduate Faculty, and the University Senate.

#### 4. Faculties of Colleges (University System)

The faculty of a college shall consist of its dean, assistant and/or associate deans, and full-time faculty personnel having the rank of assistant professor, associate professor or professor in the regular, special title, or extension series. Membership, with or without voting privileges, also may be extended by a college faculty to any other person assigned to it for administrative ~~work~~, teaching, ~~or research~~, extension, clinical or librarian work. An individual may be assigned to more than one college faculty; in this instance, one assignment shall be designated by the Provost ~~or dean~~ (Part X.B.1) as the primary one.

Updates to make language consistent with current various faculty title series

The faculty shall hold regularly scheduled meetings ~~at which the dean shall be presiding except as the dean may delegate that function~~. In addition, it shall meet in special session on the call of the President of the University, the Provost, ~~the Senior Vice President and Chancellor of the Medical Center, or~~ the dean of the college, or at the request of a prescribed number of its membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings, and of meetings of college faculty committees, shall be made available to all members of the faculty of the college.

Makes consistency that deans do possess this shared governance role both in colleges with vs. w/out departments

Makes consistency with current importance of college faculty committees and collegial faculty environment

Consistent with the Governing Regulations, the Administrative Regulations, and the Rules of the University Senate and Graduate Faculty, the faculty of each college shall establish its own rules, including a committee or council structure, necessary for the performance of the faculty's functions. After approval of these rules by the Provost for consistency with University regulations and Senate and Graduate Faculty Rules, ~~or the Senior Vice President and Chancellor of the Medical Center as appropriate~~, copies of the rules of the faculty and a description of the committee or council structure shall be made available to its members and copies filed with the dean of the college, the Provost and ~~the Senior Vice President and Chancellor of the Medical Center and~~ the Senate Council Office.

Makes consistency with relationship of Graduate Faculty to College Faculty in educational policy-making

Clarifies administrative oversight role of Provost in relation to local educational policy-making governance role of college faculty

Within the limits established by the regulations of the University and the policies and rules of the University Senate and Graduate Faculty, the faculty of a college shall determine the educational policies of that college ~~Development of educational policies shall include the development of policies, guidelines, rules, or criteria on such matters as academic requirements, curricula, class schedules, undergraduate, graduate and research programs, professional programs, service functions, academic advising, and the evaluation of courses and teaching~~.

Clarification of the meaning of the educational policy-making that is performed by the college faculty; Makes consistency with SACS accreditation criteria that educational activities include instruction, research and service, and SACS criteria on faculty responsibility for the educational program quality.

Jointly with the dean, the college faculty shall establish the procedures used at the level of the college concerning (1) recommendations on college faculty appointments, promotions, reappointments, terminal appointments, decision not to reappoints, post-retirement appointments, and the granting of tenure; (2) the faculty performance evaluations and (3) the submission of advice of the faculty or elected faculty council toward the preparation of the college budget request. It shall make recommendations to the University Senate or Graduate Faculty on such matters as require the final approval of that ~~body those bodies~~, and it may make recommendations on other matters to the University Senate, to the Graduate Faculty, to school/department faculties within the college, to the President, or to other administrative officials. The academic or scholastic requirements of a college may exceed, but not be lower than, those established for the University System as a whole by the University Senate or the Graduate Faculty. Any such differences in standards must be approved by the University Senate.

Makes consistency between colleges with vs. without departments. In both cases, faculty and dean in shared governance jointly establish college-level procedures for faculty personnel actions. (Semantics of current language appears to omit this joint activity in colleges with departments)

Clarifies standing of college faculty to make recommendations to other faculty bodies and not just to administrators

The faculty of a college may delegate by rule a defined part of the determination of its educational policies to an assembly of the college, which shall consist of the faculty and designated student representatives. The number of students voting and the method of selecting these students shall be determined by the rules of the college.

In addition to the functions and responsibilities described above, the faculty of a college without departments shall have any other functions and responsibilities which are delegated to a ~~departmental~~ department faculty as set forth in Part VII.A.6.

#### 5. Faculties of Schools (University System)

The faculty of a school shall consist of the dean of the college of which it is an administrative unit, the associate dean or director who is the chief administrative officer of the school, and the members of the faculty of the college who have been assigned duties in the school. It also shall include members of the faculties of other colleges who have joint appointments in the school or departments of the school. (The faculty of a college is defined in Part VII.A.4 of these regulations.) In addition, membership, with or without voting privileges, may be extended by the school faculty to any other person assigned to the school for administrative ~~work~~, teaching ~~or~~, research, extension, clinical or librarian work.

Updates to makes language consistent with the various current faculty title series

The faculty of a school shall hold regularly scheduled meetings, and may hold special meetings on the call of the dean of the college, the director of the school, or by a prescribed number of its voting faculty. Within the limits established by the ~~regulations of the Board of Trustees Governing Regulations,~~ the policies and rules of the University Senate and Graduate Faculty, and the policies and rules of the faculty of the college of which it is a unit, the faculty of a school shall determine the educational policies of the school. It shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall establish its own rules and determine its own committee structure. After approval of these by the dean of the college and the Provost for consistency with University regulations, and rules of the Senate, Graduate Faculty and college, or the Senior Vice President and Chancellor of the Medical Center, copies of the rules and a description of its committee structure shall be made available to its members and a copy filed with the director of the school, the dean of the college of which it is a unit, the Provost, ~~the secretary of the University Senate and~~ and the Senate Council Office. It shall make recommendations to the faculty of the college on matters which require the approval of that body. It may make recommendations on other matters to the University Senate, the Graduate Faculty, the college faculty and the faculties of departments within the school, and the dean or other administrative officers ~~of the college~~. The academic or scholastic requirements of a school may exceed, but not be lower than, those established by the college faculty. Any such differences in standards must be approved by the University Senate.

Makes parallel consistency of school faculty to college faculty and dept. faculty in standing of school faculty to hold meetings to conduct business; [note: suggested language does not dictate frequency of meetings]

Clarifies administrative oversight role of Provost in relation to local educational policy-making governance role of school faculty

Makes consistency with that the office of secretary is no longer Registrar, rather, Secretary is in SC

Clarifies shared governance standing of school faculty to make recommendations to other faculty bodies and not just to administrators

The school director shall preside over school faculty meetings, except as the director may delegate this function. Copies of the minutes of school faculty meetings, and meetings of committees of the school faculty, shall be made available to all members of the faculty of the school.

Makes consistency with shared governance role of each unit administrator to lead the faculty in its educational policy-making; makes consistency for school directors in schools with vs. w/out departments

In addition to the functions and responsibilities described above, the faculty of a school without departments shall have any other functions and responsibilities which are delegated to a department faculty as set forth in Part VII.A.6.

Revision on minutes makes consistency with current importance of school faculty committees and collegial faculty environment

#### 6. Faculties of Departments (University System)

The faculty of a department shall consist of a chairperson and the members of the department who are members of the faculty of the school and/or college of which the department is a part. (The faculties of a college and a school are defined in Parts VII.A.4 and VII.A.5, respectively.) In addition, membership, with or without voting privileges, may be extended by the department faculty to any other member of the department faculty or staff or to any person assigned to it for administrative work, teaching, research, ~~or service extension, clinical or librarian work.~~

The ~~departmental~~ department faculty has jurisdiction over matters concerning its internal educational policies, insofar as these policies do not conflict with the Governing Regulations, rules of the University Senate, Graduate Faculty, or those of other departments or with the rules of the University Senate or the faculties of the school or college of which the department is a part. ~~It~~ The department faculty should ~~shall~~ hold regularly scheduled meetings, and may hold special meetings on the call of called by the dean of the college, or by the chairperson of the department, or by a prescribed number of its voting faculty, and It ~~This body~~ shall establish rules, ~~of~~ procedures and a committee structure to deal with matters over which it has jurisdiction ~~and responsibility~~, and shall establish its quorum for the transaction of business. The proposed rules, ~~of~~ procedures and committee structure shall be submitted to the director of the school (if appropriate), the dean of the college, and the Provost ~~or the Senior Vice President and Chancellor of the Medical Center~~ for approval for consistency with University regulations and rules of the University Senate, the Graduate Faculty, the college and (if appropriate) the school faculty. Copies of the approved rules, ~~of~~ procedures and committee structure shall be made available to the members of the departmental faculty and shall be filed with the director of the school, (if appropriate), the dean of the college of which the department is a member, the Provost, ~~the secretary of the University Senate,~~ and the Senate Council Office. It has primary responsibility for the development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service functions. Jointly with the department chairperson, it ~~should~~ shall establish procedures to be used within the department in (1) making recommendations on the appointment of new members of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure; (2) the faculty performance evaluations and (3) the preparation of budget requests. The procedures in (1) and (2) shall include consultation with directors of multidisciplinary research centers and institutes for those faculty who are or will be associated with such centers or institutes.

The department chairperson shall preside over all ~~departmental~~ department faculty meetings, except as the chairperson may delegate this function, and shall be an ex officio member of all ~~departmental~~ department committees. Copies of minutes of ~~departmental~~ department faculty meetings, and of meetings of department committees, shall be made available to all members of the faculty of the department.

The academic or scholastic requirements of a department may exceed, but not be lower than, those of the school and/or college of which the department is a part. Any such differences in standards must be approved by the University Senate.

7. Staffs of Multidisciplinary Research Centers and Institutes  
(University System)

The staff of a multidisciplinary research center or institute shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty

Update makes language consistent with current various faculty title series

Makes consistent with relationship of dept. faculty to other educational policy-making bodies

Makes language in shared governance parallel with that elsewhere for colleges and Senate

Makes internal parliamentary authority parallel to that of language for college faculty

Clarifies administrative oversight role of Provost in relation to local educational policy-making governance role of dept. faculty

Makes consistent this governance role for the faculties of all departments; a chair does not have discretion to frustrate this governance exercise by unilaterally 'opting out' so as to altogether block the joint, shared governance exercise

Makes consistency with current importance of dept. faculty committees and collegial faculty environment



members on a joint appointment basis; (3) faculty members on a faculty associate basis (each such faculty associate appointed, on recommendations of both the director of the center or institute and the appropriate educational unit administrator, by the Vice President for Research or other administrator who has administrative responsibility for the center or institute); and (4) non-faculty employees appointed for the duration of a specific project.

Academic rank shall not be conferred by a multidisciplinary research center or institute nor tenure acquired solely through service in such a unit.

A multidisciplinary research center or institute shall be administratively responsible to the Vice President for Research unless specifically designated otherwise. A faculty advisory committee shall be appointed for each research center or institute by the officer to whom the unit is administratively responsible.

8. Faculty Organization in the Community College System and Lexington Community College

a. Faculties of Colleges

The faculty of community college shall consist of all professional, instructional, library, and administrative personnel. An individual may have appointments to more than one faculty; in such instance, one appointment shall be designated by the appropriate administrative officer (X.B.1) as the primary one. The president of the college shall serve as chairperson of the faculty.

The faculty shall hold regularly scheduled meetings. In addition, it shall meet in special session on the call of the President of the Kentucky Community and Technical College System, the Chancellor for the Community College System, or the president of the college, or at the request of a prescribed number of its membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings shall be made available to all members of the faculty of the college.

Consistent with the Governing Regulations, the Administrative Regulations, and the Rules of the Senate of the Community College System, the faculty of each community college shall establish its own rules, including an organizational structure necessary for the performance of the faculty's functions. After approval of these by the Chancellor for the Community College System, copies of the rules of the faculty and a description of the faculty's committee structure shall be made available to faculty members and a copy filed with the Office of the Chancellor of the Community College System.

Within the limits established by the regulations of the University and the Rules of the Senate of the Community College System, the faculty of a college shall determine the educational policies of that college. It shall make recommendations to the Senate of the Community College System on matters which require the approval of that body, and it may make recommendations on other matters to the Senate of the Community College System, to the Chancellor for the Community College System, or to the President of the Kentucky Community and Technical College System.

b. Faculty Assemblies

The faculty of a community college may organize a Faculty Assembly for the purpose of making recommendations relating to the professional welfare of its members. It shall prepare a set of rules which

shall describe its organization and procedures for the performance of its functions. Full-time faculty members devoting more than fifty percent of their effort to teaching, librarianship, and counseling are eligible for membership in the Faculty Assembly. Other members of the faculty may become members upon invitation of a majority of the members of the Assembly.

The rules of the Faculty Assembly of a community college shall be consistent with the Governing Regulations, the Administrative Regulations, and the Rules of the Senate of the Community College System and shall be adequate to allow the Assembly to perform its responsibilities. Copies of the rules shall be submitted to the president of the college, the Community College Council, and the Chancellor for the Community College System for review and approval before being made operational.

c. Faculties of Divisions

The faculty of a division shall consist of a chairperson and the members of the division who are members of the faculty of the community college.

The division faculty has the responsibility for the internal policies of the division, insofar as these policies do not conflict with those of other divisions, with the rules of the faculty of the college of which it is a part, or with the Rules of the Senate of the Community College System. It should hold regularly scheduled meetings and is authorized, with the approval of the president of the college and the Chancellor for the Community College System, to establish rules for procedure and a committee structure to deal with matters for which it has responsibility. It should establish with the division chairperson and the president of the college procedures to be used within the division in advising on the appointment of new members of the division, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure, and the procedures to be used on the division level in faculty performance evaluations and in the preparation of budget requests.

The division chairperson shall preside over all division faculty meetings, except as the division chairperson may delegate this function, and shall be an ex officio member of all division committees. Copies of minutes of division faculty meetings shall be made available to all members of the faculty of the division and the president of the college.

d. Lexington Community College

Faculty organization in the Lexington Community College shall be consistent with paragraphs a, b, and c of this section with the exception that the faculty shall meet on call of the President of the University; the Provost shall fulfill the roles of the Chancellor of the Community College System; the Rules of the University Senate rather than the Rules of the Senate of the Community College System are applicable, and the Community College Council shall have no role in the review of the rules of the Faculty Assembly for the Lexington Community College.

9. Student Participation

Rules of procedure in educational units of the University shall provide for participation of students in the development of educational policies.

B. Administrative Organization

1. Definition

The administrative organization of the University is determined by the educational organization of the University and the teaching, research, service, and other functions of the University. Each administrative officer, other than the President, shall be responsible to the President, directly or through one or more superior officers, for the efficient operation of the organizational unit or functions for which the administrative officer is responsible. The administrative organization is established by the President with the approval of the Board of Trustees. It may be expected to change with increasing size and diversity in functions of the University. The duties of administrative officers reporting directly to the President shall be those delegated by the President and described in the Administrative Regulations. Each administrative officer is expected to recommend to the appropriate next superior officer the administrative organization necessary to carry out assigned duties. The positions of deans and presidents of colleges, directors, and department and division chairpersons, with descriptions of major duties assigned, are described in these Governing Regulations. Major changes in administrative organization must be approved by the Board of Trustees.

Each administrative officer is authorized to establish administrative and/or advisory committees to aid in the performance of assigned functions.

2. Dean of the Graduate School

The Dean of the Graduate School is chairperson of the Graduate Faculty and the Graduate Council. Under the broad direction of the President, and the Provost, the Dean provides general planning, guidance, review, and coordination for all of the University's endeavors in graduate education. The Dean appoints regular and associate members of the Graduate Faculty. The Dean recommends to the Provost ~~and the Senior Vice President and Chancellor of the Medical Center~~ on the following actions affecting faculty members who are or may be involved in research or graduate programs of the University: initial appointments of associate professors and professors; promotions of assistant professors and associate professors; and granting of tenure. The Dean also recommends on budgets as these may affect graduate education and shall have the same authority and responsibilities as those of a dean of a college in the administration of educational units that might be transferred to or developed under the Office of the Dean of the Graduate School.

The President, the Provost, the Vice President for Research, and the Dean of the Graduate School shall be ex officio members of all committees of the Graduate School. ~~The~~

~~Senior Vice President and Chancellor of the Medical Center shall be an ex officio member of all Graduate School committees affecting the Medical Center.~~

### 3. Deans of the Colleges (University System)

A dean is the executive officer of a college. It is the dean's function to see that the Governing Regulations, the Administrative Regulations, the Rules of the University Senate and the Graduate Faculty, and the rules of the college faculty are enforced. The dean is authorized to establish and enforce such policies and procedures as are attendant to the administrative management of the operations of the college.

Clarifies to affirm that dean indeed has policy-making role in administrative management of the college

The dean is the chairperson of the college faculty and an ex officio member of all college committees. The dean is charged with overseeing the educational work of the college and its efficient conduct and management in all matters not specifically charged elsewhere. The dean is responsible for the implementation of the curricula of the college, for ensuring through the faculty the quality of instruction given therein, for the assignment of duties to all personnel, and for the service provided by the faculty of the college, individually and as a whole. The dean shall review faculty performance evaluations submitted by the department chairpersons and shall be responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, promotions, and granting of tenure for members of the college or for ultimate action thereon when such authority has been delegated by the Provost or ~~the Senior Vice President and Chancellor of the Medical Center, as appropriate,~~ or by the President.

Clarifies that dean implements the curricula that has been established through policy-making of the college faculty; Update makes consistency with current SACS accreditation criteria that faculty are responsible for quality of instruction

The dean shall submit the budget request for the college, and administer the budget when it is approved. Further administrative responsibilities may be delegated to the dean by the Provost ~~or the Senior Vice President and Chancellor of the Medical Center, as appropriate,~~ or by the President. These responsibilities may vary from college to college.

The dean shall speak for the college. In the event that the dean believes it necessary to depart from recommendations of the college faculty, the dean shall communicate the college faculty's recommendation as well as the dean's recommendation, stating reasons for differing from the college faculty opinion, and notify the faculty of such action.

Makes consistency for deans in colleges with vs. w/out departments that each dean must state the reasons

In connection with the above administrative functions, the dean shall seek the advice of the faculty of the college, either individually, as a whole, through the elected college faculty council, or through faculty advisory committees. In addition to the roles and responsibilities described above, the dean of a college without departments shall have any other roles and responsibilities which are delegated to a department chairperson as set forth in Part VII.B.6.

Makes consistency for deans in colleges with vs. w/out departments that in shared governance each dean must seek the advice of the college faculty

### 4. Directors of Schools (University System)

The director (or associate dean) of a school serves as chairperson of the faculty of the school in the performance of its assigned functions and is an ex officio member of all committees of the school.

The director's administrative responsibilities shall be those delegated by the dean of the college of which the school is a part.

The director shall speak for the school. In the event that the director believes it necessary to depart from the recommendations of the school faculty, the director shall



communicate the school faculty's recommendation as well as the director's recommendation, stating reasons for differing from the department faculty opinion, and notify the faculty of such action.

In connection with the above administrative functions, the director shall seek the advice of the faculty of the school, either individually, as a whole, through the elected school faculty council, or through faculty advisory committees. In addition to the roles and responsibilities described above, the director of a school without departments shall have any other roles and responsibilities which are delegated to a department chairperson as set forth in Part VII.B.5.

#### 5. Department Chairpersons (University System)

The department chairperson ~~serves as chairperson of~~ leads the department faculty in the development by the department of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service functions. The chairperson presides at all department meetings, except as the chairperson may delegate this function, and is an ex officio member of all department committees. The chairperson has administrative responsibility for implementing the department's policies and programs within the limits established by the regulations of the University, the policies of the University Senate and Graduate Faculty, and the rules of the college, ~~and~~ of any school of which it is a part: and of the department faculty .

The department chairperson is responsible for recommendations on the appointment of new members of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure. Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. As a minimum, the procedures must include consultation with all tenured members of the department, with the directors of any multidisciplinary research centers, graduate centers or institutes with which the affected individuals are or will be associated, and with all full-time nontenured faculty members (except those appointed in the research title series, Medical Center clinical title series, or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years, except as noted below. Faculty members with appointments in the ~~Medical Center~~ clinical title series, however, shall be consulted on a departmental or divisional basis as appropriate about appointment or promotion of individuals to academic ranks equal to or below their own in the ~~Medical Center~~ clinical title series, but not be consulted on matters relating to appointment, retention, promotion, or tenure of faculty in the regular or special title series. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of pertinent multidisciplinary research centers and institutes, along with the recommendation of the chairperson. The following exceptions may be made: (1) faculty members on approved leave of absence or with a primary administrative, service, or other assignment outside the department may, but are not required to, provide written judgments on all recommendations; (2) faculty members need not be consulted on recommendations for promotion affecting members with equivalent or higher rank, except that all faculty members with tenure shall be consulted on recommendations for granting of tenure; (3) faculty members without tenure need not be consulted on recommendations for granting of tenure; (4) the right to make recommendations on temporary appointments and/or appointments at the assistant professor level or below may be delegated, with these appointments to be reviewed by the tenured faculty of the department during the second semester of the first

Makes consistency for directors in schools with vs. w/out departments that each must state the reasons

Makes consistency for directors in schools with vs. w/out departments that in shared governance each director must seek the advice of the faculty through these mechanisms established elsewhere in the regulations

Clarifies grammatical redundancy of double use of word "chairperson"

Makes consistency here at level of department with parallel language at level of college that college dean enforces college faculty policies; here the dept. chair implements educational programs within framework of dept. faculty's educational policies

year of appointment; and (5) in a large and diverse department, upon prior recommendation by the department faculty and approval of the dean and the Provost ~~or Senior Vice President and Chancellor of the Medical Center, as appropriate,~~ consultation with faculty members may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

The department chairperson is responsible for the periodic evaluation of department members by procedures and criteria established by the University, the college, and the department faculty.

The department chairperson submits the budget request for the department and administers the budget after its approval. The chairperson also is responsible for making recommendations on salaries and salary changes-

In connection with the above major administrative functions, the chairperson shall seek the advice of members of the department, individually or as a group, or of advisory committees that the chairperson may appoint.

The chairperson shall speak for the department. In the event that the chairperson believes it necessary to depart from the opinion of the department faculty, the chairperson shall communicate the department faculty opinion as well as the chairperson's recommendation, stating reasons for differing from the department faculty opinion, and notify the department faculty of such action.

6. Directors of Multidisciplinary Research Centers and Institutes  
(University System)

The administrative officer of a multidisciplinary research center or institute is a director, who also shall be a faculty member in a department, school, or college. The director of a multidisciplinary research center or institute is charged with leading the center or institute faculty in the development of unit educational policies, and for the planning, implementation, coordination, and efficient management of the program and activities of the center or institute. The director shall have the same responsibilities as those of a department chairperson relative to faculty with joint appointments and non-faculty personnel in the center or institute. The director shall provide recommendations and advice to appropriate educational unit administrators concerning space, financial, and other resources, as well as the identification and appointment of faculty associates in the center or institute. The director shall submit the core budget request for the center or institute and administer this budget after its approval. In addition, the director may have other responsibilities delegated by the Vice President for Research or other administrator to whom the center or institute is administratively responsible.

Clarifies shared governance leadership role of director in relation to role of faculty in educational policy-making for centers and institutes

In connection with the above major administrative functions, the director shall seek the advice of the ~~staff~~ faculty of the center or institute, individually or as a group, or of advisory committees that may be appointed by the director of the center or institute or by the administrator to whom

Clarifies shared governance advisory role of faculty

the center or institute is administratively responsible. The director shall speak for the center or institute and be an ex officio member of all of its committees. In the event that the director believes it necessary to depart from the opinion of the center or institute faculty, the director shall communicate the unit faculty opinion as well as the chairperson's recommendation, stating reasons for differing from the unit faculty opinion, and notify the unit faculty of such action.

Reflects shared governance interaction of unit director and the faculty of the unit, in parallel with language used for other academic units (colleges, depts.)

7. Chairpersons of Interdisciplinary Instructional Programs (University System)

The chairperson of an interdisciplinary instructional program shall be a member of one of the academic departments participating in the program.

The chairperson shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on staff and other needs of the program in connection with budget planning. The chairperson shall rely upon the advice of a committee of interested faculty drawn from the departments offering the courses composing the curriculum.

8. Presidents of Community Colleges

The president of a community college is the chief administrative officer of the college. Under the general direction of the Chancellor for the Community College System, or in the case of the Lexington Community College under the general direction of the Provost, the president is charged with general responsibility for the overall administration of the college. It is the president's function to see that the applicable University of Kentucky Governing Regulations, the Administrative Regulations, and the Rules of the Senate of the Community College System are enforced, and in the case of the Lexington Community College, that the Rules of the University Senate are enforced. The president is the chairperson of the college faculty and an ex officio member of all college committees. Along with the college faculty, the president is responsible for the development and implementation of an instructional program commensurate with the purposes of a comprehensive community college. The president is responsible for the curricula of the college, for the quality of instruction given therein, for the assignment of duties to all persons, and for the service provided by the faculty of the college, individually and as a whole. The president shall utilize, through the Office of the Chancellor for the Community College System or in the case of the Lexington Community College, through the Office of the Provost, the provisions for liaison with colleges and departments of the University System for advisory assistance and services relating to the instructional program.

The president shall review and finalize the performance evaluations recommended by the division chairpersons or other administrative personnel of the college.

The president shall be responsible without delegation for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, promotions, and granting of tenure for members of the college or for ultimate action thereon when such authority has been delegated to the president by the Chancellor for the Community College System or by the President of the Kentucky Community and Technical College System, and in the case of the Lexington Community College, the Provost, or by the President of the University.

With regard to students, the president is charged with administering the requirements and regulations of the community college concerning the admission, probation, and dismissal of students.

The president shall be responsible for the preparation of the budget request for the college, for the business and financial operation of the college, either assumed or delegated, and for the maintenance and operation of the physical plant of the college.

It is the president's responsibility to relate the college program to the community through relationships with an advisory board or board of directors through appropriate use of public information media, and by appropriate relationships with community groups and individuals. The president personifies the University in the community and shall endeavor to further constructive relations between college and community.

9. Division Chairpersons (Community College System)

The division chairperson serves as chairperson of the division faculty in the development by the division of policies in regard to such matters as the implementation and revision of programs and courses. The division chairperson assists the president, or the president's designee, in the preparation of the class and teaching schedule for the division. The division chairperson presides over all division meetings, except as the division chairperson may delegate this function, and is an ex officio member of all division committees. The division chairperson has administrative responsibility for implementing the division's programs within the limits established by the regulations of the University and the Community College System, the policies of the Senate of the Community College System, in the case of the Lexington Community College the policies of the University Senate, and the rules and regulations of the community college.

The division chairperson shall be responsible for advising the president on the appointment of new members of the division, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure after consultation with the tenured faculty of the division.

The division chairperson shall be responsible for the periodic evaluation of members of the division by procedures and criteria established by the University, the Community College System, and the community college and division faculties. The division chairperson shall make recommendations to the president, who shall make final decisions about such evaluations.

The division chairperson shall be responsible for preparing for the president, or the president's designee, the budget request for the division. The division chairperson also is responsible for advising the president, or the president's designee, as to salaries and salary changes for members of the division.

In connection with the division chairperson's major administrative functions, the chairperson shall seek the advice of members of the division, individually or as a group, or of advisory committees that the chairperson may appoint.

The division chairperson speaks for the division. In the event that the chairperson believes it necessary to depart from the opinion of the divisional faculty, the chairperson must communicate the divisional faculty opinion as well as the chairperson's recommendation or advice, stating reasons for differing from the divisional faculty opinion, and notify the divisional faculty of such action.

PART VIII  
UNIVERSITY SYSTEM APPOINTMENTS

A. Administrative Appointments

1. Regular Appointments

The President of the University is appointed by the Board of Trustees with the advice of a joint committee of the Board, faculty, staff, student body, and alumni. The committee shall consist of six members of the Board, at least one of whom shall be from among the three alumni trustees, appointed by its chairperson; three members of the full-time teaching and/or research faculty of the University System, selected by a procedure determined by the University Senate; one member of the full-time staff of the University appointed by the Chairperson of the Board from a list of three staff members elected by the staff of the University; two full-time students of the University, one undergraduate and one graduate or professional student, appointed by the Chairperson of the Board from a list of three undergraduate students and three graduate or professional students selected by a procedure determined by the Student Government Association; and one member of the alumni of the University appointed by the Chairperson of the Board from a list of three alumni selected by the Board of Directors or the Executive Committee of the University of Kentucky Alumni Association. The committee shall provide opportunity for discussion between representatives of administration, faculty, staff, student and alumni groups and prospective presidential candidates.

The Provost, vice presidents, chief administrative officers of educational units (deans, directors, and chairpersons), and every administrative and professional employee of the University who is to report directly to the President or whose position is at Level 50 or above in the Administrative and Professional Classification System shall be appointed by the Board of Trustees, acting upon recommendation of the President. Except in the cases of those individuals who report directly to the President, a recommendation from an appointee's superior officer shall be obtained prior to recommending an appointment or reappointment by the Board of Trustees. Non-faculty employees other than those described above may be appointed by the President, Provost, or appropriate senior vice president. The President shall report all appointments at Levels 47 through 49 in the Administrative and Professional Classification System to the Board of Trustees. The President and the appropriate senior vice president or the Provost may delegate the power to appoint personnel whose appointments are not made by the Board of Trustees to other appropriate administrative officers.

If the Board does not accept the recommendation of the President with respect to an appointment, it shall call upon the President to make another recommendation. Likewise, the President may refuse to approve a recommendation but, in each such case, the President shall ask for a new recommendation. The same principle shall apply at all levels of the administrative organization, including recommendations sought from search committees for a Provost or chief administrative officers of educational units.

Extending from the phrase here "at all levels", the shared governance relationship of iteration that is expressed here between the advising entity and final responsible official (which is also expressed in regulation AR II-1.0-1.III.H for academic personnel actions) would, by the new additional language, be also newly extended to these search committees for academic officers



2. Acting Appointments

When vacancies occur in administrative positions other than the presidency, the President or the Provost or the appropriate senior vice president may appoint acting officers to fill the positions until it is possible to make regular appointments by the established procedure. When the officer is one who does not report directly to the President, the President or the Provost or senior vice president, as appropriate, shall request a recommendation from that officer's superior. If the officer administers a college, school, department, or a community college the appropriate chancellor/vice president also shall request a recommendation from a committee which includes faculty representation from that unit. Acting appointments shall be for a maximum term of one year; however, reappointment may be made after a satisfactory review. All appointments of acting officers shall be reported to the Board of Trustees. With the approval of the next higher administrative level, a regular administrative officer may designate a temporary officer to serve in an acting capacity for a period not to exceed four months while the regular officer is away from campus on University business or approved leave.

3. Search Committees

Recommendations on the appointment of [a Provost or of](#) the chief administrative officer educational units of the University shall be made after advice from search committees.

Makes regulation consistent with current academic organization that includes a Provost

When vacancies in administrative positions are anticipated, search committees shall be appointed sufficiently in advance of the vacancy to avoid the appointment of an acting administrator. When unanticipated vacancies occur, search committees shall be appointed as soon as the established procedures for appointment can be carried out. [Procedures for selection of the faculty membership on search committees, and for identifying of the appropriate Council for consultation in searches involving interdisciplinary institutes, shall be jointly established by the President and University Senate Council.](#)

Establishes expectation of shared governance interaction between President and Senate Council

Search committees for deans of colleges shall be appointed by the ~~appropriate~~ Provost ~~or Senior Vice President and Chancellor of the Medical Center~~ after consultation with the Senate Council.

Search committees for directors of schools shall be appointed by the deans of the colleges after consultation with the appropriate faculty bodies within the colleges: [as these bodies are identified in the rules of the respective college faculty.](#) Search committees for chairpersons of academic departments shall be appointed by the dean of the colleges after consultation with (1) the associate dean or director of the school within the college if the department is in such a school; (2) the faculty of the department; and (3) the Dean of the Graduate School if the department is involved in a graduate program.

Reflects college faculty's role codified elsewhere (GR VII.A.4) to organize itself into representative councils and committees

Search committees for directors of interdisciplinary institutes shall be appointed, after consultation with the ~~Graduate~~ [appropriate faculty body or](#) Council, by the Vice President for Research, or other officer to whom administrative responsibility has been delegated

Updates this regulation for much more complex current university educational organization

A search committee for a president of the Lexington Community College shall be appointed by the Provost after consultation with the faculty of the College. Search committees for chairpersons in the Lexington Community College shall be appointed by the President of the College after consultation with at least the tenured faculty members of the appropriate divisions.

Search committees shall operate under procedures prescribed by the President after consultation with the Senate Council.

Recommendations of the search committee shall be transmitted to the President through the ~~normal~~ established administrative channels, along with the recommendation of the administrative officer responsible for the appointment. Recommendations on the appointment or reappointment of a chairperson of an academic department or division, or for the dean of a college or the director of a school that does not contain departments or divisions, shall be accompanied by written statements from at least the tenured members of the college, school, department or division.

Makes consistent policy that every unit faculty has opportunity to input on appointment or reappointment of their most immediate direct academic unit administrator; currently faculty in colleges without depts. are semantically excluded

4. Terms of Chairpersons and Directors

a. Department Chairpersons

The term of a department chairperson's appointment shall be four years, except in the Colleges of Agriculture, Dentistry, Human Environmental Sciences, Medicine, Nursing, and Pharmacy where it shall be six years. Ordinarily, a department member will be asked to serve as chairperson for only one term. A chairperson may be reappointed, however, when the faculty advisory committee appointed to review the work of the department (AR II-1.0-6) finds that the particular circumstances and needs of the department make such a reappointment desirable. Reappointment beyond the second term may occur under exceptional circumstances when it is deemed to be in the best interests of the University. This practice may vary from discipline to discipline.

b. Chairpersons of Interdisciplinary Instructional Programs

Insofar as applicable, the rules for the appointment and reappointment of a department chairperson shall apply also to the appointment and reappointment of a chairperson of an interdisciplinary instructional program.

c. Division Chairpersons (Lexington Community College)

The division chairperson shall be appointed for a term of three years and normally shall serve for no more than three consecutive terms. Reappointment beyond the third term may occur under exceptional circumstances when it is deemed to be in the best interest of the community college and has been recommended by a faculty advisory committee.



d. Directors of Multidisciplinary Research Centers and Institutes

The director of a multidisciplinary research center or institute shall be appointed for a term of six years. A director may be reappointed, however, when an ad hoc committee appointed to review and evaluate the center or institute (AR II-1.0-6) finds that the particular circumstances and needs of the center or institute make such a reappointment desirable.

B. Academic Appointments, Reappointments, Promotions, and Granting of Tenure

All appointments and promotions of faculty to positions which involve (1) an actual or equivalent academic rank of associate professor or professor, (2) tenure, or (3) an initial salary above \$60,000 shall be made by the Board of Trustees, acting upon recommendation of the President. Appointments and promotions of faculty to positions which involve an actual or equivalent academic rank below associate professor and an initial salary not exceeding \$60,000 may be finally approved by the President who shall report such actions (except those relating to graduate teaching and research assistants) to the Board of Trustees. The President may delegate the power to make appointments and promotions that do not require approval by the Board. The President, following consultation with the Senate Council shall establish such review systems as are appropriate to assist the President, or other appropriate administrative officers designated by the President, in making informed judgments concerning academic appointments, reappointments, promotions, and granting of tenure.

Makes language consistent with title to this section B.