

PR 4

Office of the President
February 21, 2012

Members, Board of Trustees:

PROPOSED REVISIONS TO THE GOVERNING REGULATIONS

Recommendation: that the proposed revisions to the Governing Regulations of the University of Kentucky be given preliminary consideration for approval and adoption at the next regular meeting of the Board of Trustees March 27, 2012. The proposed revisions consist of housekeeping and other updates that are necessary to ensure compliance with the Southern Association of Colleges and Schools (SACS) accreditation standards.

Background: The last complete review of the Governing Regulations occurred in 2005, to accommodate the reorganization of the University from the Chancellor Model to a Provost Model and to address statutory change in the relationship between UK and Lexington Community College. Since 2005, some Governing Regulations have received isolated revisions on specific topics and others have not received any revisions.

In order to prepare for the University's upcoming SACS accreditation review, several Governing Regulations require housekeeping and other updates to ensure compliance with the SACS principles of accreditation. The following Governing Regulations require revision: GR I, GR III, GR IV, GR VII, GR VIII, GR IX, GR XII, and GR XIII.

Revised copies of these Governing Regulations are attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken:



Approved



Disapproved



Other



University Regulations

A. Governing Regulations

These *Governing Regulations* describe the composition, powers and duties of the Board of Trustees and establish policies and procedures for the performance of the Board of Trustees functions. These *Governing Regulations* contain policies established by the Board of Trustees for the governance of the University. These *Governing Regulations* delineate the duties of the President and responsibilities of the University Senate, Staff Senate, Student Government Association, the educational units and their administrative officers. The Board of Trustees makes final approval of these *Governing Regulations*.

B. Administrative Regulations

As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the Administrative Regulations, including the Human Resources Policy and Procedure Administrative Regulations and the Business Procedures Manual of Administrative Policies and Procedures (Governing Regulation II) (See also Administrative Regulation 1:6, Formulation and Issuance of University Governing Regulations and Administrative Regulations)

1. Administrative Regulations

The *Administrative Regulations* provide interpretation and implementation of University-wide policies set forth by the Board of Trustees in these *Governing Regulations* and the *Minutes of the Board of Trustees*. *Administrative Regulations* promote the responsible and efficient administration of the University and the accomplishment of its goals. The President makes final approval of the *Administrative Regulations* unless Board of Trustee approval is appropriate.

The *Administrative Regulations* are available on line on the University's web site at www.uky.edu/regs.

2. Human Resources Policy and Procedure University Employees

The *Human Resources Policy and Procedure Administrative Regulations* define University employees and provide interpretation and implementations of University policies concerning University their employment. The President, or designee, makes final approval of the Human Resources Policy and Procedure Administrative Regulations.

The *Human Resources Policy and Procedures Administrative Regulations* are available on line on the University's web site at www.uky.edu/HR/policies/.

3. Business Procedures

The Business Procedures Manual of Administrative Policies and Procedures includes information related to the purchasing of goods and services, payroll activities, accounting for financial transactions, presents policy statements to aid in decision-making and procedure steps for implementation, and assists all University departments in handling their daily business transactions. [The President, or designee, makes final approval of the Business Procedures Manual of Administrative Policies.](#)

The *Business Procedures Manual* is available on line on the University's web site at www.uky.edu/Regs/BPM/.

C. Amendments of these Governing Regulations

These *Governing Regulations* may be amended at any meeting of the Board of Trustees provided at least one (1) month has elapsed between proposal of the amendment(s) and final passage. The President, or the University Senate, the Staff Senate, or the Student Government Association, through the President, may recommend amendments to these *Governing Regulations* to the Board of Trustees.

The President, the University Senate, the Staff Senate, and the Student Government Association, as appropriate, shall have an opportunity to recommend on all amendments before final action by the Board of Trustees.

As the basic law of the University, these *Governing Regulations* supersede any previously approved rules or regulations in conflict therewith. Matters not specifically covered in these *Governing Regulations*, the *Administrative Regulations*, including the *Human Resources Policy and Procedures Administrative Regulations* [and the Business Procedures](#), *University Senate Rules*, and the *By-Laws of the University of Kentucky Staff Senate* ~~and the Business Procedures~~ are governed by administrative interpretation.

[The Governing Regulations are available on line on the University's web site at www.uky.edu/regs.](http://www.uky.edu/regs)

Revision History

1/14/1998, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



University of Kentucky Development Council

I. Introduction

This Governing Regulation establishes the University of Kentucky Development Council and defines the Council's membership. The ~~University of Kentucky~~ Development Council shall serve in an advisory capacity to the President and, through the President, to the Board of Trustees on matters relating to private fund development for the entire University.

II. Membership

The Development Council shall consist of not more than three hundred (300) members.

Membership of the University of Kentucky Development Council includes individuals appointed by the President and ~~four~~ **five** (45) *ex officio* members: the Chair of the Board of Trustees, the President, the Vice President for ~~Development Institutional Advancement, the chief development officer~~, and the Chair of the Student Development Council. The appointed membership may include alumni, non-alumni, residents and non-residents of Kentucky. Qualifications for appointed members are: (1) positions of leadership in a regional, state or national community or a profession; and (2) willingness to support the University's role as a leading public university committed to excellence and nationally recognized for the quality of its instruction, research, service, and graduates.

The University of Kentucky Development Council shall be managed by a Board of Directors consisting of the *ex officio* members of the University of Kentucky Development Council and up to twenty-six (26) members elected by the Development Council.

The elected members of the Board of Directors of the University of Kentucky Development Council shall include at least fourteen (14) alumni and at least two (2) members of the Board of Trustees.

Revision History

1/14/1998, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



University Appointments

A. Administrative Appointments

1. Regular Appointments

The President is appointed by the Board of Trustees with the advice of a joint committee of the Board of Trustees, University Faculty, staff employees, student body, and alumni. The committee shall consist of six (6) members of the Board of Trustees, at least one (1) of whom shall be from among the three (3) alumni trustees, appointed by the Chair of the Board of Trustees; three (3) regular full-time faculty members, selected by a procedure determined by the University Senate; one (1) regular full-time staff employee appointed by the Chair of the Board of Trustees from a list of three (3) staff employees selected by a procedure determined by the Staff Senate; two (2) full-time students, one (1) undergraduate and one (1) graduate or professional student, appointed by the Chair of the Board of Trustees from a list of three (3) undergraduate students and three (3) graduate or professional students selected by a procedure determined by the Student Government Association; and one (1) member of the alumni appointed by the Chair of the Board of Trustees from a list of three (3) 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 among representatives of administration, University Faculty, staff employees, student body, alumni groups, and prospective presidential candidates.

The Provost, executive vice presidents, vice presidents, chief administrative officers of educational units (deans, directors, and chairs), 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. Staff employees, other than those described above may be appointed by the President, Provost, or appropriate executive vice president or 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, Provost, or the appropriate executive vice president or vice president 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 of Trustees 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 from the same or a new search committee. The same principle shall apply at all levels of the administrative organization.

2. Acting Appointments

When vacancies occur in administrative positions other than the presidency, the President or the Provost or the appropriate executive vice president or 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 an executive vice president or a vice president, as appropriate, shall request a recommendation from that officer's superior. Acting appointments shall be for a maximum term of one (1) year; however, reappointments 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 service in an acting capacity for a period not to exceed four (4) months while the regular officer is away from campus on University business or approved leave.

If the officer administers a college, center, school, or department, the Provost also shall request a recommendation on matters of acting appointment or acting reappointment from a committee which includes faculty members from that unit.

In the selection of an acting Provost, the President shall request a recommendation from a committee which includes faculty members and also recommendations from the University Senate Council.

The search processes for an acting provost or chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit, and shall provide for the participation of other affected groups as appropriate.

3. Search Committees

Recommendations on the appointment of a Provost or of the chief administrative officers of all educational units of the University shall be made after advice from search committees.

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. The selection of faculty members for membership on search committees for administrative appointments above the level of dean shall be made after consultation with the University Senate Council.

Recommendations of the search committee shall be transmitted to the President through the established administrative channels, along with the recommendation of the administrative officer responsible for the appointment. Recommendations on the appointment or reappointment of a chair 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.

Search committees for deans of colleges shall be appointed by the Provost after consultation with the University Senate Council, and either the faculty or elected faculty council of the college.

Search committees for directors of schools shall be appointed by the deans of the colleges after consultation with the appropriate bodies as these bodies are identified in the rules of the respective school faculty.

Search committees for chairs of academic departments shall be appointed by the deans 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.

Search committees for directors of interdisciplinary research centers or institutes or interdisciplinary instructional programs shall be appointed, after consultation with the appropriate bodies, by the ~~Executive~~-Vice President for Research, or other officer to whom administrative responsibility has been delegated.

The search processes for a provost or for chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit and shall provide for the participation of other affected groups, as appropriate.

4. Terms of Chairs and Directors

(a) Department Chairs

The term of a department chair's appointment shall be four (4) years, except in the Colleges of Agriculture, Dentistry, Medicine, Nursing, and Pharmacy where it shall be six (6) years.

Ordinarily, a department faculty member will be asked to serve as chair for only one (1) term. A chair may be reappointed, however, when the faculty advisory committee appointed to review the work of the department (AR ~~1:4H-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) Chairs of Interdisciplinary Instruction Programs

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

(c) Directors of Multidisciplinary Research Centers and Institutes

The director of a multidisciplinary research center or institute shall be appointed for a term of six (6) years. A director may be reappointed, however, when an ad hoc committee appointed to review and evaluate the center or institute (AR 1:4) 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 members to positions which involve (1) an actual or equivalent academic rank of associate professor or professor, (2) tenure, or (3) an initial salary above \$100,000 shall be made by the Board of Trustees, acting upon recommendation of the President. Appointments and promotions of faculty members to positions which involve an actual or equivalent academic rank below associate professor and an initial salary not exceeding \$100,000 shall be made by the President who shall report such actions to the Board of Trustees.

The President may delegate the authority to make appointments and promotions that do not require approval by the Board of Trustees. The President, following consultation with the University 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.

References and Related Materials

KRS 164.220 - Appointment, salaries and retirement benefits of university personnel.

KRS 164.225 - Board's exclusive jurisdiction over appointments, qualifications, compensation, promotions, and retirement programs.

AR 1:4 - The Planning, Budgeting, and Assessment Cycle

Revision History

12/11/2001, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



University Organization

Major Topics

[Educational Unit](#)

[Administrative Organization of Educational Units](#)

Introduction

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. Any existing or proposed unit that has as its primary mission the performance of educational activities in instruction, research, and service shall be defined as an educational unit if at least one full-time (tenured or tenurable) faculty appointment or its time equivalent is assigned to perform instruction, research, and service in that unit. This assignment provision excludes solely administrative assignments such as the chief administrative officer of the unit. An educational unit is subject to the University Senate review and the periodic review processes.

Any unit not meeting the definition of an educational unit is defined as an administrative unit.

The educational and 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.

A. Educational Unit

1. Definitions of Educational Units and Their Chief Administrative Officers

Departments, schools, colleges, graduate centers, multidisciplinary research centers and institutes, and interdisciplinary instructional programs are the basic educational units of the University that deliver instruction, research, and service including extension activities.

Major educational units of the University are the colleges, the Libraries, and the Graduate School. For purposes of these *Governing Regulations*, the Libraries is equivalent to a college.

Schools are administratively responsible to a college, and departments are directly responsible to a college or sometimes directly to a school within their college.

Some instructional programs draw faculty exclusively from one department, school, or college whereas interdisciplinary instructional programs, such as the Honors Program, draw faculty from different departments, schools, and colleges.

A graduate center is an interdisciplinary educational unit that delivers graduate education degree programs, is equivalent to a department, and is located administratively in the Graduate School unless the administrative responsibility specifically has been delegated otherwise.

A multidisciplinary research center or institute is an educational unit established to provide multidisciplinary programs, which are primarily research in nature. Such an educational unit is administratively responsible to the ~~Executive~~-Vice President for Research unless the administrative responsibility specifically has been delegated otherwise.

The chief administrative officer of a major educational unit is a dean. The chief administrative officer of a graduate center, school or multidisciplinary research center or institute is a director.

The chief administrative officer of a department or an interdisciplinary instructional program is a chair.

2. Academic Ranks

Academic ranks in the University consist of lecturer, instructor, assistant professor, associate professor, professor, or the equivalent to these recognized in the librarian title series of librarian IV, librarian III, librarian II and librarian I, respectively.

The President establishes academic title series, the ranks within each series, and a description of the qualifications for each after consultation with appropriate administrative and faculty groups, including the University Senate Council. Emeritus ranks for retired faculty members and the rights of holders of emeritus titles are established by the President after consultation with the University Senate Council.

The establishment of new academic title series or ranks and major changes in criteria for ranks shall have the approval of the Board of Trustees.

3. The Graduate Faculty

(a) Membership

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

Graduate Faculty members must possess the following qualifications:

A doctoral 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.

The Dean of the Graduate School confers membership in the Graduate Faculty. 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 Graduate Faculty of the respective graduate program.

Associate and other classes of members in the Graduate Faculty may be appointed by the Dean of the Graduate School, with appropriate duties and privileges, as provided by the *Rules of the Graduate Faculty* and approved by the University Senate.

(b) Officers, Committees and Councils

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. Councils of the Graduate School may be appointed by the Dean of the Graduate School or elected, as prescribed by the *Rules of the Graduate Faculty* and approved by the University Senate. Copies of minutes of Graduate Faculty meetings and of meetings of Graduate Faculty committees and councils shall be made available to all members of the Graduate Faculty.

(c) Graduate Faculty Functions

Within the limits established by the *Governing Regulations* and the *University Senate Rules*, the Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees and within those limits shall establish *Rules of the Graduate Faculty* necessary for the performance of its educational policymaking functions. Copies of these rules shall be made available to Graduate Faculty members and filed with the Graduate Faculty Dean, the Provost, and the University Senate Council. 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 University Senate approval. The Graduate Faculty may make recommendations on other matters to the University Senate, to college or department faculties, to the President or other administrative officers.

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

(a) Membership

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

(b) Officers, Committees and Councils

The faculty shall hold regularly scheduled meetings at which the dean shall preside except as the dean may delegate that function. In addition, it shall meet in special session on the call of the President, the Provost, the dean of the college, or at the request of a prescribed number of its voting 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 and councils shall be made available to all members of the faculty of the college.

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 in educational policy-making. After approval of these rules by the Provost for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules* and *Rules of the Graduate Faculty*, copies of the rules and a description of the committee or council structure shall be made available to members and filed with the dean of the college, the Provost and the University Senate Council.

(c) College Faculty Functions

Within the limits established by these *Governing Regulations*, *Administrative Regulations*, *Rules of the University Senate*, and *Rules of the Graduate Faculty* of the University, the faculty of a college shall determine the educational policies of that college, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that the responsibility has not been delegated to a school or department faculty.

In consultation with the college faculty, the Dean shall establish procedures used at the level of the college concerning: (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint; (2) the faculty performance evaluations; and (3) faculty input in the evaluation of the performance of school directors and department chairs during the interval between periodic reviews. It shall make recommendations to the University Senate or Graduate Faculty on such matters as require the final approval of those bodies, and it may make recommendations on other matters to the University Senate, the Graduate Faculty, school/department faculties within the college, the President, or to other administrative officials. The academic or scholastic requirements of a college may exceed, but not be lower than, those established by the University Senate or the Graduate Faculty. The University Senate must approve any such differences in standards.

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 consists of the faculty and designated student representatives. The number of students voting and the method of selecting these students is 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 faculty as set forth in Part VII.A.6.

5. Faculties of Schools

(a) Membership

The membership of a faculty of a school shall consist of the dean of its college of which it is an administrative unit, the director who is the chief administrative officer of the school, and the members of the faculty of the college who have been assigned regular, full-time duties in the school. (The faculty of a college is defined in Part VII.A.4 of these regulations.) Membership, with or without voting privileges, also may be extended or withdrawn by the above faculty of the school to any other person assigned to the school for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one school; in this instance, one assignment shall be designated primary by the Provost. (Part X.B.1)

(b) Officers, Committees and Councils

The faculty of a school shall hold regularly scheduled meetings at which the school director shall preside, except as the director may delegate this function. In addition, it shall 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. 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 and councils of the school faculty shall be made available to all members of the faculty of the school.

The faculty shall establish its own rules and determine its own committee structure that are necessary for its functions in educational policy making and shall prescribe the quorum necessary for the transaction of business. After approval of these rules by the dean of the college and by the Provost for consistency with University regulations and with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, and college faculty rules, copies of the school faculty's rules and a description of its committee structure shall be made available to its members, and a copy shall be filed with the director of the school, the dean of the college of which it is a unit, with the Provost, and with the University Senate Council.

(c) School Faculty Functions

Within the limits established by these *Governing Regulations*, the *University Senate Rules*, *Rules of the Graduate Faculty*, and the 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, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that this responsibility has not been delegated to a department faculty. It shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall make recommendations to the faculty of the college on matters that 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 within the school, and the dean or other administrative officers. The academic or scholastic requirements of a school may exceed, but not be lower than, those established by the college faculty. The University Senate must approve any such differences in standards.

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.

6. Faculties of Departments

(a) Membership

The membership of a faculty of a department shall consist of a chair and the regular, full-time 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.) Membership, with or without voting privileges, also may be extended or withdrawn by the above department faculty to any person assigned to the department for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one department; in this instance, one assignment shall be designated as primary by the Provost (Part X.B.1).

(b) Officers and Committees

The department faculty shall hold regularly scheduled meetings, at which the department chair shall preside except as the chair may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the chair of the department, or by a prescribed number of its voting faculty. The department chair shall be an *ex officio* member of all departmental committees.

Copies of minutes of departmental faculty meetings and of meetings of department committees shall be made available to all members of the faculty of the department.

The department faculty shall establish rules, procedures and a committee structure concerning educational policy matters over which it has jurisdiction and responsibility, and shall establish its quorum for the transaction of business. These proposed rules, procedures and committee structure shall be submitted to the director of the school (if appropriate), the dean of the college, and the Provost for approval for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, rules of the college and (if appropriate) rules of the school faculty. Copies of the approved rules, 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 unit, the Provost, and the University Senate Council.

(c) Department Faculty Functions

Within the limits established by these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, or the rules of the faculties of the school or college of which the department is a part, the department faculty has jurisdiction over matters concerning its educational policies.

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions. Jointly with the department chair, the department faculty shall establish procedures to be used within the department concerning (1) Recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint; (2) the Faculty performance evaluations and (3) Preparation of budget requests. The procedures in (1) and (2) above shall include consultation with directors of multidisciplinary research centers and institutes for those faculty members who are or shall be associated with such centers or institutes.

The department faculty shall develop statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements must be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department. Revisions to a department's statements, upon approval of the department faculty, must also be submitted by the department chair to the dean for review and final approval.

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. The University Senate must approve any such differences in standards.

7. Faculty of Multidisciplinary Research Centers and Institutes

(a) Faculty Membership and Functions

The faculty of a multidisciplinary research center or institute that is responsible for establishing the educational policies of the unit shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty members with recurring, formally assigned instructional, research, and/or service duties in the unit. In addition, membership, with or without voting privileges, may be extended and withdrawn by the above center or institute faculty to any other person assigned to the unit for administrative, instructional, research, extension, clinical or librarian work.

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

(b) Officers and Committees

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

8. Student Participation

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

B. Administrative Organization of Educational Units

1. Definition

The administrative organization of the University is determined by the educational organization of the University and the instruction, research, service, and other functions of the University. Each administrative officer, other than the President, is 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 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, directors, and chairs of educational units, with descriptions of major duties assigned, are described in these *Governing Regulations*. The Board of Trustees must approve major changes in administrative organization.

Each administrative officer is authorized to establish and enforce such policies and procedures as are attendant to delegated administrative duties and 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 chair of the Graduate Faculty and of the Graduate Council and serves as an ex-officio member of all committees of the Graduate School. 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 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 Dean shall speak for the Graduate Faculty. In the event that the Dean believes it necessary to depart from the recommendations of the Graduate Faculty, the Dean shall communicate the Graduate Faculty's recommendation as well as the Dean's recommendation, stating the reasons for differing from the Graduate Faculty's opinion, and notify the Graduate Faculty of such action.

3. Deans of the Colleges

A dean is the chief administrative officer of a college and is responsible for the enforcement of these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, and the rules of the college faculty. 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.

The dean is the chair 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 chairs and shall be responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, post-retirement appointments, promotions, and granting of tenure and decisions not to reappoint for members of the college or for ultimate action thereon when such authority has been delegated by the President or the Provost.

The dean shall submit the budget request for the college and administer the budget when it is approved. The President or Provost may delegate further administrative responsibilities to the dean. These responsibilities may vary from college to college.

In connection with the above administrative functions, the dean shall seek the advice of the faculty of the college: 1) individually, 2) as a whole, 3) through the elected college faculty council, or 4) through the 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 chair as set forth in Part VII.B.6. Staff employees shall be consulted, when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

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's opinion, and notify the college faculty of such action.

4. Directors of Schools

The director of a school serves as chair 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.

In connection with the above administrative functions, the director shall seek the advice of the faculty of the school: (1) individually, (2) as a whole, (3) through the elected school faculty council, or (4) 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 chair as set forth in Part VII.B.5. Staff employees shall be consulted by the school director (or associate director), when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

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 school faculty's opinion, and notify the school faculty of such action.

5. Chairs of Departments

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

The department chair is responsible for recommendations on the appointment of new faculty employees of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint.

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, on matters relating to decisions not to reappoint, reappointment, terminal reappointment, or the granting of tenure of persons in any title series, the department chair shall consult with all tenured faculty members of the department. At a minimum, on matters relating to appointment or promotion of any persons in any tenure-eligible title series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department, , with a rank at or above the rank to which the individual being considered would be appointed or promoted. At a minimum, on matters relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department (GR VII.A.6(a)). On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. 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 any multidisciplinary research centers or institutes, or graduate centers with which the individual is, or would be, associated, along with the recommendation of the chair.

On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. Faculty employees in the tenure-ineligible series shall not be consulted on matters relating to appointment, reappointment, terminal reappointment, decisions not to reappoint, promotion or the granting of tenure of faculty employees in the tenure-eligible title series, except by invitation of the department faculty as provided below.

A department faculty may establish policies that extend the above minimum consultation requirements in faculty personnel matters to include the specified participation of other full-time faculty employees in any series in the department. Once these policies on extended participation privileges are approved by the department faculty (GR VII.A.6(a)) and reviewed by the department chair, the dean and Provost for consistency with the Governing Regulations, Administrative Regulations and rules of the College, and approved, these policies shall be incorporated into the rules document of the department.

The following exceptions may be made: (1) faculty employees on approved leave of absence or with a primary administrative, service, or other assignment outside the department, who are otherwise eligible to participate, may, but are not required to, provide written judgments on all recommendations; (2) faculty employees at the rank of Instructor in any title series participate only upon the granting of participation privileges by the department faculty, and, (3) in a large and diverse department, upon prior recommendation by the department faculty (GR VII.A.6(a)) and approval of the dean and the Provost, consultation with faculty employees may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

The department chair 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 chair submits the budget request for the department and administers the budget after its approval. The chair also is responsible for making recommendations on salaries, salary changes, and distribution of effort.

In connection with the above major administrative functions, the chair shall seek the advice of members of the department, individually or as a group, or of advisory committees that the chair may appoint. Staff employees shall be consulted, when appropriate, by the chair, in the development of administrative policies and on decisions that directly affect staff employees.

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

6. Directors of Multidisciplinary Research Centers and Institutes

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 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 chair relative to faculty members and staff employees with assigned duties 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 of faculty members for assignment of duties 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 ~~Executive~~-Vice President for Research or other academic administrator to whom the center or institute is administratively responsible. In connection with the above major administrative functions, the director shall seek the advice of the faculty members 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 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 and shall transmit the recommendations of the consulted faculty along with the director's recommendation, if these recommendations are different. Staff employees shall be consulted, when appropriate, by the director, in the development of administrative policies and on decisions that directly affect staff employees.

7. Director/Chair of Interdisciplinary Instructional Programs

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

The director/chair shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on personnel and other needs of the program in connection with budget planning. For these administrative purposes, the director/chair shall rely upon the advice of a committee drawn from faculty members participating in the courses composing the curriculum and shall transmit the recommendations of the consulted faculty along with the director/chair's recommendation, if these recommendations are different. Staff employees shall be consulted by the director/chair, when appropriate, in the development of administrative policies and on decisions that directly affect staff employees.

References and Related Materials

Governing Regulations:

GR I – The University of Kentucky (Definition)

GR IV – The University Senate

GR IX – Reviews of Organizational Units and Their Chief Administrative Officers

Administrative Regulations:

AR 1:1 – University of Kentucky Administrative Organization

University Senate Rules

Rules of the Graduate Faculty

Revision History

12/11/2001, 6/14/2005, 7/1/2009

For questions, contact: [Office of Legal Counsel](#)



Reviews of Organizational Units and Their Chief Administrative Officers

Major Topics

Program Review

Review of Chief Administrative Officers

Policies and Procedures for Reviews

I. Program Review

The performance of each educational and administrative unit in the University* shall be reviewed comprehensively at regular intervals by an ad hoc committee. The review period shall normally be from five (5) to seven (7) years.

Ad hoc review committees for educational units shall be formed principally from faculty personnel, shall normally include members internal and external to the unit being reviewed, and may include members external to the University. Review committees for administrative units shall be formed from affected constituencies, including faculty and staff employees, shall normally include members internal and external to the unit being reviewed, and may include members external to the University.

*Includes departments, schools, graduate centers, colleges, interdisciplinary instructional programs, and multidisciplinary research centers and institutes.

II. Review of Chief Administrative Officers

The performance of chief administrative officers shall be reviewed comprehensively at regular intervals. The reviews shall be designed to provide information to enhance leadership and unit effectiveness and to guide compensation and employment decisions.

Ad hoc review committees for chief administrative officers at the level of Provost, executive vice presidents, and deans shall be formed with representatives from affected constituencies and may include members external to the unit or university.

III. Policies and Procedures for Reviews

Policies and procedures for conducting program reviews and reviews of chief administrative officers, as

established by the President after consultation with appropriate administrative and faculty groups, including the University Senate and Staff Senate, are described in the Administrative Regulations (AR ~~1:4H-1.0-6~~). Policies and procedures for conducting reviews of department chairs and school directors, as appropriate for the individual colleges, shall be established jointly by the dean and the college faculty.

A review of the performance of any unit at other than the regular interval may be initiated by the chief administrative officer of the unit, by an administrative officer responsible for the unit, or by the President. A review of the performance of any chief administrative officer at other than the regular interval may be initiated by the officer, the officer's supervisor, or the President. Ordinarily such reviews shall also be initiated if requested by a majority of the faculty of an educational unit or the staff employees of an administrative unit. Such requests shall be submitted to the administrative officer to whom the unit reports, who shall provide a written explanation if the officer disapproves the request.

IX. References and Related Materials

Administrative Regulation 1:4

Revision History

01/14/1998, 06/14/2005, 06/13/2006

For questions, contact: [Office of Legal Counsel](#)



The University Senate

Major Topics

Membership

Officers, Committees, and Councils of the University Senate

University Senate Functions

I. Introduction

[This Governing Regulation describes the composition, authority, and functions of the University Senate at the University of Kentucky.](#)

A. Membership

The University Senate shall be composed of both elected and *ex officio* members.

The ninety-four (94) elected faculty shall be full-time faculty elected from and by the respective college faculties. The elected faculty representatives [in](#) the University Senate have the authority assigned to “the faculty of the University” under KRS 164.240 to recommend to the Board of Trustees the conferral of earned degrees from the University and the conditions for and award of honorary degrees. The University Senate membership, composed of both elected and *ex officio* members, is authorized to perform all other functions delegated by the Board of Trustees to the University Senate.

The University student body shall be represented by the student senators, one elected from and by the full-time student body of each college. The one elected emeritus faculty member shall be elected by and represent the University of Kentucky Association of Emeriti Faculty. The procedures for election of representatives to the University Senate and University Senate Council shall be prescribed in the *University Senate Rules*.

In even numbered academic years, the *ex officio* voting members of the University Senate shall be composed of the following: Provost ~~Executive Vice President for Research~~, Associate Provost for Undergraduate Education, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Dean of Libraries, and deans of the Colleges of Communications and Information Studies, Dentistry, Design, Education, Engineering, Health Sciences, Law, and Social Work. In odd numbered academic years, the *ex officio* voting members shall be the following: Provost, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Associate Provost for [Faculty Academic](#) Affairs, Dean of the Graduate School, Associate Provost for Undergraduate Education, and deans of the

Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Medicine, Nursing, Public Health, and Pharmacy. The University Senate may recommend to the Board of Trustees changes to the above list of *ex officio* voting members and determines *ex officio* nonvoting membership, as necessary.

B. Officers, Committees, and Councils of the University Senate

The University Senate is authorized to develop *University Senate Rules* for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. 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 to the faculties of the Graduate School, or the faculties of the colleges, schools, departments, centers and institutes. The University Senate Council shall appoint standing or special committees of the University Senate, responsible to the University Senate, unless the University Senate has authorized other methods of appointment.

The President is the Chair of the University Senate and shall be the presiding officer except as the President may delegate this function to the University Senate Council Chair. As its Chair, the President may be called upon by the University Senate to address or represent the University Senate or to transmit its recommendations. The President, as Chair of the University Senate, may establish and appoint academic committees to advise the President in this capacity.

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

A member of the University Faculty (not necessarily a member of the University Senate), appointed by the University Senate Council, shall serve as parliamentarian. The two (2) sergeants-at-arms, appointed by the University Senate Council, shall be members of the University Faculty and/or a staff employee. The University 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 University Senate Council or on the written request of ten (10) members.

Any University employee or student may attend a meeting of the University Senate as a visitor and request the privilege of the floor.

* Members and officers of the University Senate Council shall remain voting members of the University Senate until the end of their terms on the University Senate Council. They shall not be counted as a part of the quota of the educational unit that they have represented nor of the maximum faculty membership of the University Senate after the expiration of their elected University Senate memberships.)

C. University Senate Functions

The University Senate is not assigned any management or administrative functions. The University Senate functions include the following:

1. Determine the broad academic policies of the University, including the similar academic policies that may be made necessary by governmental or accreditation agencies, and make rules to implement these policies. They shall not be counted as a part of the quota of the educational unit that they have represented nor of the maximum faculty membership of the University Senate after the expiration of their elected University Senate memberships.

2. Approve all new academic programs, ~~and~~ make final academic decisions on recommendations to changes of these programs, and recommend the closing of degree-granting academic programs.
3. Make final decisions for the University on curricula, courses, certificates and diplomas offered at the University ~~and on the termination of academic programs.~~
4. Adopt policies for the University academic calendar and establish the annual calendar upon recommendation by the University Registrar.
5. Recommend to the President and Provost on the establishment, alteration, abolition, and reporting relationships of educational units in the University.
6. Advise the President or the President's designated officer on the planning for physical facilities, personnel and other resources when these may affect the attainment of educational objectives of the University.
7. Advise the President or the President's designated officer, through appropriate committees, on criteria, policies and procedures for performance review, appointments, reappointments, promotions, granting of tenure, and benefits to faculty in the University.
8. Determine the conditions for admission and for degrees, other than honorary degrees, in the University, pursuant to KRS 164.240.
9. Recommend to the Board of Trustees all candidates that have been approved for degrees in the University, pursuant to KRS 164.240.
10. Address the President or, through the President, the Board of Trustees, regarding any University matter.

D. References and Related Materials

KRS 164.240

University Senate Rules

Revision History

[6/14/2005](#)

For questions, contact: [Office of Legal Counsel](#)



The President of the University of Kentucky

Introduction

Pursuant to KRS 164.220, the Board of Trustees is vested with authority to appoint a president for the University. This Governing Regulation establishes the authority and responsibilities of the President.

The President is the chief executive officer of the University and has full authority and responsibility over the administration of the academic, athletic, administrative, and financial 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.

A. Authority and Responsibilities

1. Administrative Officers, Faculty and Staff, Committees and Councils

All administrative officers, including but not limited to the Provost, vice presidents, deans, directors and other subordinate officers, shall be subject to the supervision and direction of the President.

The President may delegate any of the President's assigned authorities or responsibilities to any faculty member or staff employee 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 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.

2. University Senate and Staff Senate

The President is Chair of the University Senate and an ex officio member of the Staff Senate and of the various college faculties. The President may call meetings of the University Senate, the Staff Senate, the University Assembly, or any college faculty. The President may be asked to address a meeting of the University Senate, the Staff Senate, or a college faculty. (*Governing Regulations, Part IV & Part V*)

3. External Relations

Subject to the regulations of the Board of Trustees, the President is the official spokespersons for the University before all international, federal, state, and local government offices, boards, and

agencies and is the non-voting representative of the University on the Council on Postsecondary Education.

4. Budget

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

5. Communications

The President ~~shall serve~~ serves 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 employees, student organizations, and students ~~on the other hand~~. In this connection it ~~shall be~~ is the President's responsibility to transmit to the Board of Trustees 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.

6. Regulations and Policies

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. (KRS 164.180; KRS 164.200; *Governing Regulation IV*)

The President must, of necessity, in the day-to-day direction of University affairs, interpret existing policies and, when necessary, establish new policy with respect to academic, administrative and financial matters. While responsible for the enforcement of the Governing Regulations of the Board of Trustees and the University Senate Rules, 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 University Senate through the University 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.

7. Vehicle Traffic and Parking

~~The Board of Trustees delegates to t~~he President ~~is responsible~~the responsibility for the development and enforcement of regulations for the control of ~~motor~~ vehicle traffic and parking on University property. For this purpose, University property is defined as all real property owned, used, or occupied ~~and exclusively operated~~ by the University. (KRS 164.975)

B. Vacancy or Disability of the President

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 of Trustees finds it desirable to appoint an interim President, it shall seek advice from a committee composed of representatives of Board of Trustees members, faculty members, staff employees, and students.

References and Related Materials

KRS 164.180, KRS 164.200, KRS 264.220, KRS 164.975
Governing Regulation IV
Governing Regulation V

Revision History

6/14/2005

For archive versions contact: [Office of Legal Counsel](#)



GOVERNING REGULATION, PART I THE UNIVERSITY OF KENTUCKY (DEFINITION)

Major Topics

- A. [Statutory Definition](#)
- B. [University Programs and Requirements](#)
- C. [Vision, Mission and Values](#)
- D. [Ethical Principles and Code of Conduct](#)
 - 1. [Ethical Principles](#)
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 - (a) [Nondiscrimination Policy](#)
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 - (c) [Use of the University's Name](#)
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 - (h) [Employment of Relatives](#)
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 - (m) [Financial Advantage](#)
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 - (p) [Clarifications and Reporting Violations](#)
- E. [Diversity](#)
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- G. [Civic Responsibility of the Individual](#)
- H. [Order of Communication and Reports](#)
- I. [Use of University Facilities](#)
- J. [Political Activity](#)
- K. [Tobacco Policy](#)
- L. [Solicitation of Funds](#)
- M. [Campus Sales](#)

A. Statutory Definition

1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of “Agricultural and Mechanical College of Kentucky.” Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.
2. Legislation in KRS 164.120* states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.
3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University’s research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) in carrying out its statewide mission, the University of Kentucky shall conduct statewide research and provide statewide services including, but not limited to, agricultural research and extension services, industrial and scientific research, industrial technology extension services to Kentucky employers, and research related to the doctoral, professional, and post-doctoral programs offered within the University; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.

* The dates of establishment of the colleges listed in the statute are: **Arts and Sciences** (1908); **Agriculture** (1908); **Law** (1908); **Education** (1925); **Graduate** (1912); **Engineering** (1918, as the merger of the College of Civil Engineering, the College of Mechanical Engineering, and the College of Mines and Metals); and Commerce (1925, renamed the College of Business and Economics February 18, 1966; renamed the **Gatton College of Business and Economics**, 1996). In accordance with this statute, the following colleges have been subsequently established by the Board of Trustees: **Pharmacy** (July 1, 1947); **Medicine** (June 1, 1954); **Dentistry** (May 28, 1956); **Nursing** (May 28, 1956); Architecture (separated from Engineering as a School July 1, 1964; raised to a college May 5, 1970; renamed **Design**, October 29, 2002); Allied Health

Personnel (as a ~~separate~~ school January 1, 1966); ~~renamed *Allied Health Professions* (January 20, 1967)~~, raised to a college, May 5, 1970, ~~renamed *Allied Health Professions*, January 20, 1967~~; renamed *Health Sciences*, April 30, 2002); ~~*Public Health* (May 4, 2004)~~; Home Economics (separated from the College of Agriculture, 1916; merged back into College of Agriculture, 1917; separated from Agriculture as a school July 1, 1967; raised to a college May 5, 1970; renamed Human Environmental Sciences, January 22, 1991; merged into the College of Agriculture July 1, 2003 as ~~at~~ the *School of Human Environmental Sciences*); Library Science (separated from Arts and Sciences as a school April 2, 1968; raised to a college May 5, 1970; renamed Library and Information Science, April 6, 1982; merged with Communications and renamed *Communications and Information Studies*, June 22, 1993); Social Professions (separated from Arts and Sciences as a school June 24, 1968; raised to a college May 5, 1970; renamed *Social Work*, May 6, 1980); Communications (May 4, 1976; renamed *Communications and Information Studies*, June 22, 1993); and *Fine Arts* (separated from Arts and Sciences May 4, 1976).

B. University Programs and Requirements

1. The University of Kentucky shall provide:
 - (a) Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;
 - (b) Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state;
 - (c) Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)
2. The Board of Trustees is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.

C. Vision, Mission and Values

The University of Kentucky Board of Trustees adopted the following amended Vision, Mission and Values Statement on ~~June~~January 9~~23~~²⁷, 2009~~7~~⁷.

1. Vision

The University of Kentucky will be one of the nation's 20 best public research universities, ~~an institution recognized world-wide for excellence in teaching, research, and service and a catalyst for intellectual, social, cultural, and economic development.~~

2. Mission

The University of Kentucky is a public, ~~research-extensive~~, land grant university dedicated to improving people's lives through excellence in ~~education~~teaching, research and creative work, service and health care, ~~cultural enrichment, and economic development~~. As Kentucky's flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being.

The University of Kentucky:

- facilitates learning, informed by scholarship and research;
- expands knowledge through research, scholarship and creative activity; and
- serves a global community by disseminating, sharing and applying knowledge.

The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.

3. Values

The ~~values of the~~ University of Kentucky is guided by its ~~decisions and the behavior of its community.~~ Its core values ~~are~~:

- integrity;
- ~~academic excellence and academic freedom~~;
- mutual respect and human dignity;
- ~~embracing diversity and inclusion~~;
- academic freedom;
- ~~personal and institutional responsibility and accountability~~;
- shared governance;
- ~~a sense of community~~;
- ~~sensitivity to work-life~~ sensitivity concerns;
- ~~civic engagement~~ responsibility; and
- social responsibility.
- ~~service to society~~.

D. Ethical Principles and Code of Conduct

The Board of Trustees adopted the document, Ethical Principles and Code of Conduct, on January 27, 2004.

1. Ethical Principles

(a) The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004.

(b) The following core values guide our decisions and behavior:

- integrity
- ~~academic excellence and freedom~~
- mutual respect and human dignity
- ~~diversity of thought, culture, gender, and inclusion~~ ethnicity
- ~~personal and institutional responsibility and accountability~~
- academic freedom
- shared governance
- ~~a sense of community~~
- ~~sensitivity to work-life~~ sensitivity concerns
- civic engagement responsibility
- social responsibility

(c) Each member of the University must endeavor to:

- promote the best interests of the University of Kentucky
- foster the Vision, Mission, and Values of the University
- preserve the public's respect and confidence in the University of Kentucky
- exhibit personal integrity, honesty, and responsibility in all actions
- provide an environment of mutual respect, impartiality, and collaboration
- maintain confidentiality in all matters deemed confidential
- assure independence of judgment free from conflicting interests
- ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed
- comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations
- demonstrate stewardship of University property and resources

2. Code of Conduct

Those acting on behalf of the University of Kentucky have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the Student Rights and Responsibilities.

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. Violations of this code will be subject to appropriate penalties. In addition to the Code, University members are **generally** subject to all University codes, regulations, and policies and state and federal law. ~~Violations of this code will be subject to appropriate penalties.~~ As applicable, University members shall comply with:

- Federal laws, regulations, and policies;
- Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);
- University and unit-level policies and procedures including, but not limited to, the Governing Regulations (GR), Administrative Regulations (AR), Human Resources Policy and Procedure Manual, the Business Procedures Manual, and Rules of the University Senate;
- Contract, grant, and donor stipulations;
- Accreditation requirements; and
- Generally accepted accounting principles.

While this Code of Conduct provides overall guidance and in some instances interpretation, additional guidance is found in other official University policy documents, such as the *Governing Regulations*, *Administrative Regulations*, *Human Resources Policies*, Rules of the University Senate ~~Rules~~, and *Business Procedures Manual*.

(a) Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment and education practices without regard for economic or social status and will not discriminate on the basis of race, color, ethnic origin, national origin, creed, religion, political belief, sex, sexual orientation, marital status, or age. The University does not discriminate on the basis of uniform service, veteran status, or physical or

mental disability when an individual otherwise meets the minimum qualifications for application or participation. All University members are expected to comply with the institution's nondiscrimination policy. The President is responsible for the development of an affirmative action plan by which full implementation of this policy shall be effected in the University. (See Human Resources Policy and Procedures Number 2.0)

(b) Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise.

(c) Use of the University's Name

University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the University of Kentucky. University members are encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

(d) Civic Responsibility of the Individual

In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. (Also see D., above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University. (MOVED FROM BELOW)

(ed) University Resources

University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the University of Kentucky's uses, and must occur outside of the University member's regular employment assignment. The Office of the University Legal Counsel can provide an appropriate form of agreement.

(fe) Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual harassment of or by students, faculty, and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements. The University policy and procedures on sexual harassment can be found in *Administrative Regulation 6:1H-1.1-9*.

(gf) Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee (*Administrative Regulation 6:1H-1.1-9*).

(hg) Employment of Relatives

In order to assure independence of judgment that is free from conflicting interest and to avoid relationships that could be perceived as conflicts of interest, no relative of the President shall be employed in a position at the University.

Similarly, no relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer's administrative area. The Board of Trustees on a stated temporary basis may permit waiver of the above regulation, not to exceed two years, when it is otherwise impractical to fill a position with another fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees.

No relative of any employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or executive vice president, as appropriate (*Governing Regulation X-1*).

The University shall employ no relative of a member of the Board of Trustees. Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University.

(ih) Intellectual Property

University members should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or its designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (*Administrative Regulation 7:6H-4.1-3*).

(j) Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in *Administrative Regulation 3:9H-4.1-4*.

A staff employee may be employed outside the University when the employment does not constitute a conflict with University interests and when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee's ability to perform satisfactorily. A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest. Adherence with this policy is the responsibility of the staff employee who seeks outside employment; however, it is recommended the employee advise his or her department head of the outside employment.

(k) Conflict of Interest

The public's respect and confidence in the University of Kentucky must be preserved. Confidence in the University of Kentucky is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University. All University members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

Administrative Regulation 7:2H-4.0-4-Research Conflict of Interest and Financial Disclosure Policy – **Research** sets forth specific relationships and activities that pose a potential conflict of interest for faculty, staff, and students involved in research and related activities. The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. After disclosure, the University can make an informed judgment about a

particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

(k) Auditing Services

To effectively discharge their fiduciary and administrative responsibilities, the University's administration and the Board of Trustees are assisted by internal and external (independent) auditing services. These services provide independent, objective assurances and consulting services with respect to evaluating risk management, control, and governance processes. It is a violation of University policy to mislead or give false information to or intentionally omit material facts from internal or external (independent) auditor(s).

(m) Financial Advantage

Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Except as specifically approved by the Board, purchases and contracts shall not be made with an employee of the University of Kentucky for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University of Kentucky (Business Procedures Manual B.2.C). [\(See KRS 164.131 and KRS 164.367\)](#) An indirect interest may be defined as a real or perceived use of a university position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned.

An employee seeking approval under this section shall first make an application to the University Ethics Committee by submitting in writing a full disclosure of all aspects of his or her relationship with the contracting company or business. The Ethics Committee shall make a recommendation to the President, who shall forward to the Board the Committee's recommendation together with his or her recommendation. In recommending approval of a contractual relationship, the Committee shall determine that:

- (i) the contractual relationship is in the best interest of the University;
- (ii) the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest;
- (iii) if the conflict is subject to the provision of KRS Chapter 45A, the employee's contract shall be the lowest price bid or otherwise provides the best value to the University;
- (iv) the employee's interest in the contract does not present a conflict with the employee performing his or her job; and,
- (v) the nature of the contract and the nature of the employee's interest in the contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible.

Action taken by the Board shall be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.

(n) Fiscal Responsibility

The Board of Trustees, President, executive officers, administrators, deans, department chairs, directors, principal investigators, and all others functioning as area or unit heads are responsible for setting a tone of accountability and high ethical standards in financial matters. All employees are expected to comply with the requirements outlined in:

- Governing Regulation Part I;
- UK Ethical Principles and Code of Conduct;
- A01-005 UK HealthCare Code of Ethics;
- AR 3:9
- AR 7:2 Research Conflict of Interest and Financial Disclosure Policy; and
- AR 7:9 Institutional Conflicts of Interest Involving Research

All organizational units (e.g., administrative area, college, department, division, center, or office) are expected to maintain a strong internal control environment for the University as defined in the Business Procedures Manual. (see Business Procedure E-1-3, Fiscal Roles and Responsibilities, and E-1-4, Internal Control.)

Each organizational unit head is accountable for the sound financial management of the unit and retains this fiscal responsibility if authority for transactional processing, record keeping, approving and monitoring is delegated to others.

(om) Acceptance of Gifts or Benefits

University members' decisions and actions should be based on the best interest of the University. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the University may be accepted. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported
- Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance
- Acts of professionally related hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.
- Individuals may not accept gifts valued above \$200. These gifts or benefits shall be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.

(pA) Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation, counsel or advice regarding this policy, contact the Office of Legal Counsel.

~~3.~~ University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

~~E. Kentucky Ethics Statutes~~

~~1. Unless specifically approved by the Board, no employee 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 (2) faculty members and the one (1) staff employee who are members of the Board of Trustees. (KRS 164.131)~~

~~2. 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. (KRS 45A.340 (7))~~

EF. Diversity

The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities, support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.

EG. Shared Governance

The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority. Through these empowering processes of shared governance, the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.

~~H. Civic Responsibility of the Individual~~

~~In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. (Also see D., above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University. (MOVED TO ABOVE)~~

GI. Order of Communication and Reports

All University faculty members and staff employees shall have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.

All faculty members and staff employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.

When a supervisory decision or reporting relationship involves a conflict of interest, the next higher-level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.

This regulation shall in no way limit the President in communicating with faculty members or staff employees, nor shall it prevent communication between faculty members, staff employees, or administrative officers, and the Board of Trustees for purposes other than the submission of official recommendations and communications.

HJ. Use of University Facilities

Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.

By virtue of the above, University of Kentucky facilities shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility in accordance with these *Governing Regulations*, *Administrative Regulations*, and *University Senate Rules*.

IK. Political Activity

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University facilities shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party* or of a candidate or candidates for public office. The facilities of the University may be used for public forums to *Governing Regulations* which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

University facilities may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.

In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University facilities shall not be used to advance or inhibit religion.

*"Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS [118.015\(1\)119.010](#).

JL. Tobacco Policy

Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. The President is delegated authority to promulgate an Administrative Regulation regarding the use of tobacco products.

JM. Solicitation of Funds

Various charitable organizations desire, from time to time, to conduct on-campus solicitations of contributions from faculty and staff. These charitable solicitations are generally carried out: (1) through use of University mail service; (2) through use of University email systems; and, (3) through access to the payroll deduction system. The University does not intend to convert its mail service, its email systems, or its payroll process into either a limited or unlimited public forum, but prefers to maintain its systems as a non-public forum.

The following criteria will be applied by the President in determining which, if any, charitable organizations will be permitted to engage in the on-campus solicitation of faculty and staff:

1. Whether the charity maintains a diversity plan;
2. In cases where access to the payroll deduction is involved, whether the charity can demonstrate that at least 30 percent of the on-campus, University employees have given to the charity in four out of five years or that 30 percent of the on-campus, University employees intend to give to the charity in the current year;
3. In cases of federated or "umbrella" charities, whether the charity provides a health or human service in Fayette County or the University and the extent of such service in the local area;
4. Whether the charity maintains a local office or service center;
5. Whether the charity maintains a reasonable ratio (not more than 15 percent for administration and fund raising) of administrative expenses to program expenses;
6. In the case of federated or "umbrella" charities, whether the charity makes it a practice to submit to an annual review by local citizens of financial and program activity;
7. Whether the charity maintains, from year to year, an active board of local volunteers;
8. In the case of federated or "umbrella" charities, whether the federated charity requires its recipient agencies to maintain operational standards in order to maintain their status as recipients;
9. Require an annual audit and that the charity receives an unqualified audit opinion;
10. Whether the charity is a non-profit organization; and,
11. Whether the charity provides services on an annual basis to employees and students of the University.

LN. Campus Sales

Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon University property other than by the regularly authorized stores, food service places, departments, or divisions of the University are prohibited except upon written permission of the Dean of Students. Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.

Revision History

6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/08

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