

PR 3

Office of the President
June 16, 2017

Members, Board of Trustees:

PROPOSED REVISION TO GOVERNING REGULATION:
LECTURER SERIES IN LEWIS HONORS COLLEGE (SECOND READING)

Recommendation: that the Board of Trustees approve the attached revision to *Governing Regulation (GR) VII, University Organization*, which was received for preliminary consideration as PR 3 on May 2, 2017. The revision, if approved, will allow Lecturer Series faculty to hold primary appointments in the Lewis Honors College.

Background: At its December 2015 meeting, the Board of Trustees accepted a \$15,000,000 pledge and acknowledged a total commitment of \$23,000,000 from the T. W. Lewis Foundation to transform the UK Honors Program into the Lewis Honors College. At its June 2016 meeting, the Board of Trustees approved the establishment of the Lewis Honors College. The Provost appointed a transition team to assist with determining the College's structure and curriculum. Central to the new Honors curriculum will be a foundational seminar, "The Individual and Society," that will be required of all Honors undergraduates. The transition team opined that the College's mission would be better served if a cohort of instructors had primary appointments in the Honors College to provide adequate instructional support for the proposed foundational seminar.

Governing Regulation VII, establishing the Honors College, states that all faculty in the Honors College will have primary appointments in other colleges. Therefore, the transition team proposed a change in the Governing Regulation to allow for a primary appointment of Lecturer Series faculty to the Honors College. Regular UK faculty members will continue to play the lead instructional role in the expanded Honors curriculum.

This proposal has been reviewed and endorsed by the Lewis Honors College faculty of record and the Senate Committee on Academic Organization and Structure. In accordance with *Governing Regulation (GR) XIII, University Regulations*, the University Senate, Staff Senate, and Student Government Association have reviewed and endorsed the revision. The President, the Provost, and the Interim Dean of the Lewis Honors College support the proposed revision.

A revised copy of GR VII is attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken: Approved Disapproved Other _____



Governing Regulation, Part VII

University Organization

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Introduction

This Governing Regulation defines educational and administrative units and their composition within the University organization; delineates the role and responsibilities of the faculties of the colleges, the Graduate School, the Honors College, the Libraries, schools, departments and multidisciplinary centers and institutes; and outlines the authority, duties, and expectations of the administrative officers of each unit.

A. Policy

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. 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. Major changes in administrative organization shall be made only on the approval 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.

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.

B. Definitions

1. “Educational unit” means any existing or proposed unit that has as its primary mission the performance of educational activities in instruction, research, and service and that has or will have at least one full-time (tenured or tenure-eligible) 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.
2. “Administrative unit” means any unit not meeting the definition of an educational unit.

C. Educational Units and Their Chief Administrative Officers

1. 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.
2. Major educational units of the University are the colleges, the Graduate School, the Honors College, and the Libraries. For purposes of these *Governing Regulations*, the Libraries is equivalent to a college.
3. 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 in the Honors College, draw faculty from different departments, schools, or colleges.

4. 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.
5. 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 Vice President for Research unless the administrative responsibility specifically has been delegated otherwise.
6. 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.

D. Academic Ranks

1. Academic ranks in the University consist of lecturer and senior lecturer in the lecturer series, and 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.
2. 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.

3. 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.

E. The Faculties

1. The Graduate Faculty

a. Membership

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

Graduate Faculty members shall 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.

2. The Honors Faculty

a. Membership

The membership of the Honors Faculty shall consist of the Dean of the College, associate or assistant deans holding professorial faculty rank (i.e. assistant, associate, or full professor) and who have assignment in the College, and regular and associate faculty members.

Regular members of the Honors Faculty are tenured or tenure-eligible faculty members with primary appointment in another college who have a recurring, dedicated assignment in Honors College, reflected in their Distribution of Effort (DOE).

Associate members of the Honors Faculty are those with primary appointment in another college who have an occasional assignment to provide instruction in the Honors curriculum, and lecturers with primary appointment in the Honors College and a regular assignment to provide instruction in the Honors curriculum.

The above members of the Honors Faculty shall possess the following qualifications:

A doctoral degree or its equivalent in scholarly reputation;

The rank of lecturer or senior lecturer in the Lecturer Series, or the rank of assistant professor (or equivalent) or higher in any other series;

Demonstrated excellence in teaching and mentoring of undergraduate students; and

Demonstrated interest in honors students and the willingness to participate in the Honors College.

The Dean of the Honors College confers membership in the Honors Faculty. The appointments of regular members are made upon recommendation of Regular Honors Faculty after review of the qualifications of the persons proposed for membership by the dean of the college of primary appointment. The Dean of the Honors College may appoint, with appropriate duties and privileges, associate members in the Honors College Faculty in accordance with the Rules of the Honors College approved by the University Senate.

b. Officers, Committees and Councils

The Honors Faculty may perform its functions directly or through the Honors College Council, as prescribed by the Rules of the Honors College Faculty and as approved by the University Senate. The Dean of the Honors College shall preside over meetings of the Honors Faculty, except as the Dean may delegate that function. Copies of minutes of Honors Faculty meetings and of meetings of Honors Faculty committees and councils shall be made available to all members of the Honors Faculty.

c. Honors Faculty Functions

Within the limits established by the University regulations and the University Senate Rules, the regular members of the Honors Faculty shall have jurisdiction over the curricular requirements leading to the Honors credential, and within those limits shall establish Rules of the Honors Faculty necessary for the performance of its educational policymaking functions. For these purposes, voting privileges may

be extended or withdrawn by the regular members to the associate members, or to other persons assigned to the college for administrative, instruction, research, extension, clinical or librarian work. Copies of these Rules shall be made available to Honors Faculty members and filed with the Dean of the Honors College, the Provost, and the University Senate Council.

It is the responsibility of the Honors Faculty to promote the academic achievements of Honors students and to assist the colleges in the development of undergraduate excellence in all fields. In accordance with procedures established in its approved Rules, the Honors Faculty shall make recommendations to the University Senate on academic matters that require University Senate approval. The Honors Faculty may make recommendations on matters related to honors education to the University Senate, to college or department faculties, to the President or to other administrative officers.

The Honors Faculty/Council shall have the authority and responsibilities delegated to it by the Dean of the Honors College and the University Senate.

3. 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*, *University Senate Rules*, 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 shall vote whether to 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.

4. 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 shall 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.

5. 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 shall 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, shall 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 shall approve any such differences in standards.

6. 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 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.

7. 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.

F. Administrative Officers

1. Administrative Officers - General

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 *Administrative Regulation 1:1, University Organization*. 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, and their major duties assigned, are described below.

Each administrative officer is authorized to establish and enforce such policies and procedures as are attendant to delegated administrative duties and to establish administrative or advisory committees to aid in the performance of assigned functions.

2. Administrative Officers of Educational Units

a. 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.

b. Dean of the Honors College

The Dean of the Honors College is chair of the Honors Faculty and serves as an ex-officio member of all councils and committees of the Honors College. Under the broad direction of the President and the Provost, the Dean provides general planning, guidance, review, and coordination for all of the College's endeavors in undergraduate education. The Dean also recommends on the college budget and shall have the same authority and responsibilities as those of a dean of a college in the administration of the Honors 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.

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

The Honors College shall establish an External Advisory Board. This body shall be consultative, governed by by-laws established under the direction of the Dean of the College and approved by the Provost for its operation. The Honors External Advisory Board shall offer advice and recommendations on matters brought forward by the Dean and leadership of the university, reserving matters of educational policy, personnel, and internal operations to the Honors Faculty and administrative leadership.

c. 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.

d. 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.

e. 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.

f. 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 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.

g. Dean/Director/Chair of Interdisciplinary Instructional Programs

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

The dean/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

GR Part X, Regulations Affecting Employment

University Senate Rules

Rules of the Graduate Faculty

Revision History

12/11/2001, 6/14/2005, 7/1/2009, 3/27/2012, 6/24/2016

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