

*December 2010*

## OPERATING RULES AND PROCEDURES

Department of Economics  
Gatton College of Business and Economics  
University of Kentucky

*These Rules of Procedure are intended to be consistent with the Governing Regulations and the Administrative Regulations of the University of Kentucky and the laws of the Commonwealth of Kentucky and of the United States of America. In the event that these rules of procedure are inconsistent or contrary to the above-mentioned regulations and laws, then those regulations and laws control.*

### **ARTICLE 1. ORGANIZATION AND MEETINGS**

#### **Section 1.1 DEPARTMENTAL FACULTY AND PERSONNEL**

1.1.1 The Faculty of the Department of Economics includes the permanent personnel of the Department with the following ranks: lecturers, instructors and professors of all ranks in the Regular Title Series, Special Title Series, Research Title Series, Extension Title Series, and joint appointees of these ranks. Visitors and part-time instructors are excluded from this definition of the Faculty.

1.1.2 Voting privileges are extended to all members of the Faculty of the Department with the following exceptions. Faculty members in the Research Title Series are not eligible to vote on matters relating to faculty appointments, retention, promotion, or tenure or to be elected to the University Senate. Lecturers have the same voting eligibility as those in the Research Title Series. Joint appointees do not have voting rights unless otherwise specified in the joint appointment agreement.

1.1.3 Department Personnel includes all full-time and part-time personnel of the Department.

1.1.4 The Department of Economics limits the number of lecturers and senior lecturers to 20% of the tenured or tenure-eligible faculty or 4, whichever is smaller.

#### **Section 1.2 MEETINGS**

1.2.1 Regular meetings of the Faculty shall be held at least once each semester. Special meetings of the Faculty may be held at the call of the Chair or on petition from one-fourth of the membership.

1.2.2 Notification of all meetings of the Department Faculty shall be given by memorandum (electronic delivery is permissible) to the members. Notification of meetings shall be given at least one week in advance of the meeting (except in the case of meetings, such as on recruiting, when prompt action is required) and shall include the agenda of the meeting. Any change in Department policy not previously listed on such agenda shall not be brought to a vote until the next meeting of the Faculty.

1.2.3 A quorum shall consist of a majority of the voting members of the Department Faculty. In all parliamentary questions not otherwise provided for, Robert's Rules of Order shall apply.

1.2.4 The Chair shall appoint a secretary for purposes of the recording, preparation, and distribution of the minutes of Department meetings. Copies of the minutes shall be distributed to all members of the Department Faculty and shall be made part of the Department Record.

1.2.5 The Chair shall preside over all Department meetings except as may be delegated by the Chair or stipulated otherwise by these Rules and Procedures.

## **ARTICLE 2. ADMINISTRATION**

### **Section 2.1 ADMINISTRATIVE STRUCTURE AND STANDING COMMITTEES**

2.1.1 The administrative organization of the Department consists of the Chair, the Director of Graduate Studies, the Director of Undergraduate Studies, and the Director of the Center for Business and Economic Research.

2.1.2 The Chair is the chief executive officer of the Department and is an ex officio member of all department committees. The authority of the Chair is exercised with the assistance of the Director of Graduate Studies, the Director of Undergraduate Studies, committees, and with the Faculty of the Department. Subject to University, College and Department policy and to policy and rules as determined by the faculty, the Chair is responsible for the administrative affairs of the Department.

2.1.2.1 The Faculty of the Department shall be actively involved in the selection, review and evaluation of the Chair according to the guidelines and procedures established by the University and those adopted by the Faculty of the Department.

2.1.2.2 The Chair is responsible for recommendations on the appointment of new members of the Department, reappointments, terminal appointments, decisions not to reappoint, and post-retirement appointments, as specified in GR VII B.5. All tenured faculty shall be consulted on such issues. Also, all full-time non-tenured faculty members who have been members of the Department for two or more years shall be consulted on decisions on the appointment of new members of the Department. (See GR VII B.5.)

2.1.2.3 The Chair is responsible for recommendations on promotion and the granting of tenure. Procedures and criteria used in preparing the recommendations shall be those established by the University and the tenured Faculty of the Department. The procedures must include consultation with the tenured members of the Department of equal or higher rank. All recommendations on matters of promotion and tenure must include the written judgment of each consulted member of the Department along with the recommendation of the Chair. All faculty members with tenure shall be consulted on recommendations for granting of tenure. Faculty members on approved leave of absence or with a primary administrative, service, or other assignment outside the department may, but are not required to, provide written judgments on recommendations.

2.1.2.4 The Chair is responsible for reaching agreement with each faculty member on the allocation of faculty time as officially reported to the University via the Distribution of Effort Agreement. The responsibility lies in ensuring fair and equitable allocation of effort for the individual in comparison with other faculty as well as being in compliance with University and College rules and policies.

2.1.2.5 The Chair is responsible for the periodic evaluation of Department faculty and for making recommendations on salaries and salary changes by procedures and criteria established by the University, the College and the Faculty of the Department.

Criteria and procedures for appointment, reappointment, nonrenewal of appointment, terminal appointment, promotion, and faculty merit performance review at the lecturer or senior lecturer rank will be consistent with the criteria and procedures employed for tenured and tenure-eligible faculty. Since lecturer and senior lecturer appointments rarely include research, the criteria and procedures will primarily focus on teaching and service as will their Distribution of Effort (DOE).

The portfolio of evidence used in the evaluation process has common characteristics but should also allow for individual evidence of excellence in research, instruction, and service to be assessed. Diverse areas of excellence, as well as common components, should be considered. Items that are commonly used and relied upon by the Department to evaluate teaching are the following:

- Information regarding student teaching evaluations. This includes numerical scores and, where possible, summaries of students' written comments on course evaluations.
- Comments by former students who have been selected to provide written letters of testimony regarding the promotion candidate's teaching effectiveness.
- The candidate's teaching may have been observed and evaluated by other faculty or members of the Department and this evaluation will be considered.

Other evidence considered by the Department may include, but is not limited to:

- Unsolicited comments from students about the candidate's teaching.
- Significant mentoring and contribution to the professional development of students.

- Supervising independent studies classes, internships or student independent research.
- Selection for a significant outstanding teacher award.
- Scholarly publications about teaching.
- Receiving external grant support for teaching/learning projects.
- Outside reviewers evaluations, where they are in a position to assess the candidate's teaching skills.
- Developing a new and/or novel course that fills an identified need in the curriculum or is particularly noteworthy.
- Invitation to teach at institutions of recognized excellence.
- Outstanding performance as a departmental undergraduate advisor
- Successful participation at teaching workshops, conferences, or institutes.
- Receipt of competitively-awarded internal funding for teaching.

Aspects of services that are frequently observed for evaluating service are the following:

- Service on Departmental committees such as those dealing with undergraduate education and other administrative and governance issues.
- Leadership in undertaking and completing the tasks of a committee.
- Service on College committees.
- Service on University committees and in other capacities in University governance.

Other evidence of service includes, but is not limited to:

- Serving as a program chair or organizer of conferences or sessions for conferences.
- Serving as a member of a review panel for major organization.
- Being an officer in a significant professional organization.
- Serving on a major governmental commission, task force, board, or in related capacities.

These lists of items are intended to illustrate how candidates may provide evidence for performance review and promotion, but the candidate is not expected to accomplish any particular subset of them.

2.1.2.6 The Chair is responsible for submitting budget requests for the Department and is responsible for administering the budget subject to guidelines established by the University, College and Department.

2.1.2.7 The Chair represents the Department. On all issues where the opinion of the Chair differs from that of the majority of the consulted faculty, the Chair must communicate the consulted faculty's opinion as well as his/her own and stating his/her reasons for differing from the consulted faculty's opinion. The consulted faculty of the Department shall be given a copy of this communication.

2.1.2.8 The Chair is appointed by the Dean for a term not to exceed four academic years. On the approval of at least a majority of the Department Faculty, the Chair may be reappointed for up to an additional four years.

2.1.3 The Director of Undergraduate Studies and the Director of the Center for Business and Economic Research shall be appointed by the Chair of the Department after consultation with the Faculty. The Chair shall make recommendations to the Dean of the Graduate School of the University regarding the appointment of the Director of Graduate Studies.

2.1.3.1 The Director of Graduate Studies has the responsibility of coordinating all activities pertaining to graduate study such as recruiting, admissions, course offerings, comprehensive examinations, etc.

2.1.3.2 The Director of Graduate Studies has the responsibility for advising all graduate students who do not have an advisory committee. The advisory committee chairs advise all doctoral students whose committees they chair.

2.1.3.3 The Director of Undergraduate Studies is responsible for coordinating the advising for all students who are pursuing an undergraduate major in the Economics. The Chair of the Department, in consultation with the Director of Undergraduate Studies, shall appoint additional advisors to assist in advising duties. The Director of Undergraduate Studies will also serve on the Undergraduate Studies Committee of the College.

2.1.3.4 The Director of the Center for Business and Economic Research is responsible for the operations on the Center within guidelines established by the Department.

2.1.4 The Department shall have four standing committees: the Undergraduate Studies Committee, the Graduate Studies Committee, the Center for Business and Economic Research Advisory Committee, and the Merit Review Advisory Committee.

2.1.4.1 The Undergraduate Studies Committee shall consist of all of those engaged in advising undergraduate students and in no case will it have fewer than five faculty members, including the Director of Undergraduate Studies, who serves as its chair. It will also include an undergraduate student, who will be selected by the committee and will have full voting rights. Appointments to the committee are for a term of one academic year. Reappointments for additional one-year terms are possible. Committee responsibilities include those issues relevant to undergraduate instruction including approval, oversight and review of the undergraduate program requirements and courses.

2.1.4.2 The Graduate Studies Committee shall consist of five faculty members, including the Director of Graduate Studies, who will serve as its chair. The committee will also include one graduate student member who will have full voting rights except on matters pertaining to the offering of financial awards. Appointments to the committee shall be made by the Chair, in consultation with the Director of Graduate Studies, for a term of one academic year. Reappointments for additional one-year terms are possible. Committee responsibilities include those issues relevant to graduate programs and

instruction including approval, oversight and review of the graduate program requirements and courses.

2.1.4.3 The Center for Business and Economic Research Advisory Committee shall consist of five faculty members appointed by the Chair in consultation with the Director of the Center for Business and Economic Research. The Director of the Center will serve as Chair of the Advisory Committee. The function of the committee is to provide advice to the Director and general oversight of the operations of the Center.

2.1.4.4 The Merit Review Advisory Committee shall consist of three tenured members of the faculty appointed by the Chair. The committee's function is to meet with the Chair to discuss, consult, and advise regarding the appropriate merit evaluation to be awarded for each faculty member being reviewed for the biannual faculty performance review. The only exception is that each committee member is recused when his/her review is considered or when a potential conflict of interest arises. In the event that a consensus on the merit evaluation for a faculty member is not reached, the Chair makes the final determination.

2.1.5 When there is a faculty vacancy to be filled, the Chair shall appoint a recruiting committee consisting of five faculty members. The Chair or his/her designee will serve as chair of the recruiting committee. The recruiting committee will present a recruiting plan to the Department for its approval. Positions will be advertised in ***Job Openings for Economists*** and the recruiting committee will screen applicants, interview applicants at professional meetings and make recommendations to the Chair for inviting candidates for campus visits. Candidates visiting the campus will present a seminar and the faculty will be given an opportunity to meet with the candidates. The recruiting committee will make recommendations to the Department Faculty regarding the extension of offers to candidates.

## **Section 2.2 GENERAL PROVISIONS FOR COMMITTEES**

2.2.1 Notification of membership on committees shall be distributed to the Faculty within thirty days of the beginning of the Fall Semester.

2.2.2 Faculty members with one-half or more of their duties in College or University administration shall not serve as regular committee members for standing committees, except as noted in the Department Rules and Procedures. Such faculty may serve as ex-officio committee members.

2.2.3 Additional ad hoc committees may be established as necessary by the Chair or elected by the faculty to carry out the activities of the Department or advise the Chair on issues.

2.2.4 Each standing committee shall meet at least once each semester.

2.2.5 All committee meetings shall be open to any member of the Department Faculty unless otherwise indicated in the Operating Rules and Procedures.

2.2.6 All committee meetings shall be conducted in a democratic manner with each

official committee member having one vote and passage of motions requiring a simple majority of the votes cast.

### **Section 2.3 POLICY**

The Chair shall be responsible for keeping a current compilation of the Department's policies. These shall consist of all continuing Department policy decisions which do not amend the Department Rules and Regulations.

### **Section 2.4 ELECTIONS AND VOTING**

2.4.1 All elections to elected positions shall be done by secret ballot by the eligible faculty members. If no candidate receives a majority on the first ballot, a run-off of the two top candidates will be held.

2.4.2 Voting on issues may be by show of hand. However, a secret ballot may be called for by any member of the eligible voters.

## **ARTICLE 3. ACADEMIC PROGRAMS**

### **Section 3.1 STATEMENT OF PROGRAMS.**

The statement of the programs of the Department of Economics are available in the current University of Kentucky Catalogue.

### **Section 3.2 CHANGES IN PROGRAMS, COURSE OFFERINGS OR COURSES.**

3.2.1 Changes to the undergraduate course offerings or degree programs are to be made as follows: A faculty member sponsoring the proposal submits the proposal to the Department Undergraduate Studies Committee. The committee has thirty days to present the proposal to the Department faculty along with its recommendation to the faculty. The faculty shall act upon the proposal within thirty days. The Chair forwards the approved proposal to the Dean's office for College committee and faculty approval and for distribution to the appropriate University Committee.

3.2.2 Changes to the graduate course offerings or degree program are to be made as follows: A faculty member sponsoring the proposal submits the proposal to the Graduate Studies Committee. The Graduate Studies Committee has thirty days to present the proposal to the School faculty. The faculty shall act upon the proposal within thirty days. The Chair forwards the approved proposal to the Dean's office for College committee and faculty approval and for distribution to the appropriate University committee.

### **Section 3.3 SCHEDULING AND STAFFING OF COURSES**

3.3.1 The Chair is responsible for scheduling classes after consultation with the faculty on teaching desires and times and with the Directors of Graduate and Undergraduate Studies.

3.3.2 The staffing of courses is to be staffed according to priorities established by the College of Business and Economics as specified in the Rules and Procedures of the College of Business and Economics.

## **ARTICLE 4. PERTAINING TO THE OPERATING RULES AND PROCEDURES**

### **Section 4.1 PRIORITY**

No rule or procedure of these Operating Rules and Procedures shall be in conflict with College or University Rules and Regulations.

### **Section 4.2 PROCEDURE FOR AMENDMENT**

4.2.1 Any member of the Department Faculty may initiate an amendment to the Operation Rules and Procedures by distribution of copies of the proposal at any regular meeting of the Departmental Faculty. Such distributions shall constitute a first reading of the amendment. Proposals shall be clearly labeled as PROPOSED AMENDMENT.

4.2.2 The amendment becomes part of the Operating Rules and Procedures if ratified by majority vote of the Department Faculty attending the next regular meeting.

### **Section 4.3 REVIEW**

The Department shall formally consider the question of Operating Rules and Procedures review at intervals of no greater than five years. At any time within such intervals the Chair may appoint an ad hoc review committee, which shall make a report on the question to the Faculty.

### **Section 4.4 RATIFICATION**

These Operating Rules and Procedures shall be considered ratified when accepted by a vote of the majority of the faculty at a regular faculty meeting. The document becomes effective upon ratification and with submission to the Provost of the University for approval for consistency with University rules and regulations.

### **Section 4.5 UPDATING**

Amendments to the Operating Rules and Procedures shall be included at their proper place in the document, rather than added serially at the end. All wording which has been removed from the document by Amendment shall be deleted from the updated copies.

### **Section 4.6 DISTRIBUTION**

Each member of the Faculty shall be given a copy of the Operating Rules and Procedures. It shall be the responsibility of the Chair of the Department to keep the Operating Rules and Procedures updated. Updated versions shall be distributed to the faculty.



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Chair (indicating approval by the Faculty)

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Date

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Dean of the Gatton College of Business and Economics

\_\_\_\_\_

Date

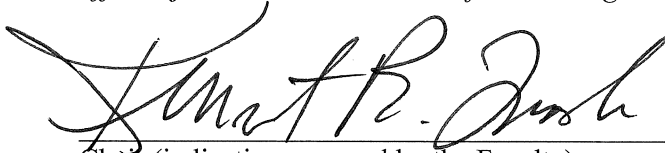
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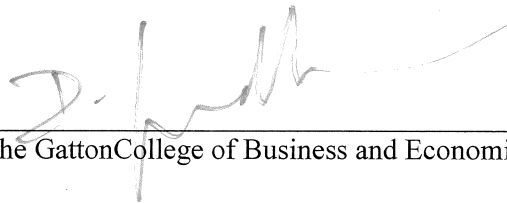
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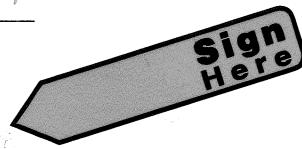
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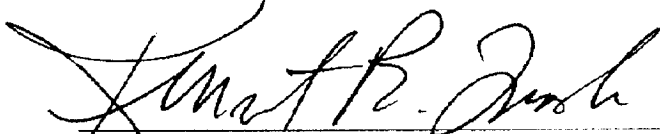
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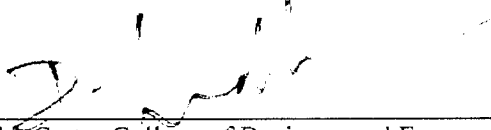


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12/15/2010  
Date



Dean of the Gatton College of Business and Economics

2/14/2011  
Date



Provost of the University of Kentucky

4/2011  
Date