

OPERATING RULES AND PROCEDURES

School of Management College of Business and Economics University of Kentucky

INTRODUCTION

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 School of Management includes all full-time personnel of the school having the academic rank of instructor or higher.

1.1.2 Unless specified otherwise in these rules and procedures or unless prohibited by other University regulations, voting privileges are extended to all members of the Faculty of the School.

1.1.3 School Personnel includes all full-time and part-time personnel of the School, organized into recognized functional areas of academic expertise and interests including, but not limited to, DSIS, finance, management, and marketing.

Section 1.2 MEETINGS

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

1.2.2 Notification of all meetings of the School Faculty shall be given by memorandum to the members. Such notification shall be given at least one week in advance of the meeting and shall include the agenda of the meeting. Any change in School 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 School Faculty. In all parliamentary questions not otherwise provided for, Robert's Rules of Order shall apply.

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

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

ARTICLE 2. ADMINISTRATION

Section 2.1 ADMINISTRATIVE STRUCTURE AND STANDING SCHOOL COMMITTEES

2.1.1 The administrative organization of the School consists of the Director, the area coordinators, the Directors of Graduate Studies (DGS's), the Directors of Undergraduate Studies (DUS's), and the Directors of the various research and service units of the School.

2.1.2 The Director is the chief executive officer of the School. The authority of the Director is exercised with the assistance of Area Coordinators, DUS's and DGS's, committees, and with the Faculty of the School. Subject to University policy and to School policy and rules as determined by the faculty, the Director is responsible for the administrative affairs of the School.

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

2.1.2.2 The Director shall be assisted in carrying out administrative tasks by the Area Coordinators, the Directors of Undergraduate Studies and the Directors of Graduate Studies.

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

2.1.2.4 The Director 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 Graduate Faculty of the School. The procedures must include consultation with the appropriate Area Coordinator and with tenured members of the appropriate area with equal or higher rank. All recommendations on matters of promotion and tenure must include the written judgment of each consulted member of the appropriate area along with the recommendation of the Director. All faculty members in the appropriate area with tenure shall be consulted on recommendations for granting of tenure. Faculty members in the appropriate area without tenure shall not be consulted on recommendations for granting of tenure. Faculty members in other areas within the School of Management with equal or higher rank, or 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.

2.1.2.5 The Director, in consultation with the area coordinators, is responsible for reaching agreement with each faculty member on the allocation of faculty time as officially reported to the University via distribution of effort agreement. The responsibility lies in ensuring fair and equitable allocation of effort for the individual and in comparison with other faculty as well as compliance with University, College, and School rules and policies.

2.1.2.6 The Director is responsible, after consultation with the appropriate area evaluation committee and the Area Coordinator, for the periodic evaluation of School faculty and for making recommendations on salaries and salary changes by procedures and criteria established by the University and the Faculty of the School. The Director is responsible for insuring fair and equitable treatment of faculty across academic areas.

2.1.2.7 Criteria and procedures for appointment, reappointment, nonrenewal of appointment, terminal appoint, 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.

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. Consistent with the evidences employed in evaluating tenured and tenure-eligible, the appropriate evidences include (but are not limited to):

- Innovative teaching methods
- Employment of higher learning approaches and activities
- Student evaluations
- Recognitions from students and graduates
- Continued record of active involvement in the lecturer's academic area
- Student advising
- Faculty advisor to student organizations
- School and College committees
- Attendance at School and College functions
- Attendance at professional functions
- Professional involvement and activities outside the university

2.1.2.8 The Director, upon seeking advice from the area coordinators, is responsible for submitting budget requests for the School. The Director is responsible for administering the budget. Area Coordinators shall seek advice from their respective faculty on budget issues.

2.1.2.9 The Director represents the School. On all issues where the opinion of the Director differs from that of the majority of the School, the Director must communicate the School's opinion as

well as his/her own and stating the reasons for differing from the School's opinion. The Faculty of the School shall be given a copy of this communication.

2.1.2.10 The Director is appointed by the Dean for a term not to exceed four academic years. On the approval of at least a majority of the School Faculty, the Director may be reappointed for up to an additional four years. A person may serve as Director or acting Director for a maximum of eight years out of any twelve consecutive years.

2.1.3 The Area Coordinators will consist of a tenured faculty member representing each major functional area within the School (DSIS, Finance, Management, and Marketing). The Area Coordinators are elected by a majority vote of the faculty in the respective area for a term of two years. If a majority vote is not reached in the first vote, a runoff is held between the top two vote getters. An Area Coordinator may serve two consecutive two-year terms both by election. A person may serve as Area Coordinator for a maximum of four years out of any six consecutive years. The Director may consult with the Area Coordinators on a wide range of items but must consult with the respective coordinator on all matters related to merit review, promotion and tenure decisions, class schedules and teaching assignments, budget, and other appointments as stipulated in these rules and procedures. The Director shall also seek the assistance of the appropriate Area Coordinator in the development of promotion and tenure files.

2.1.4 The DUS's and the service unit directors shall be appointed by the Director of the School after consultation with the appropriate area coordinator. The Director shall recommend DGS's to the Graduate Dean of the College.

2.1.4.1 The DGS's have the responsibility of coordinating all activities pertaining to graduate study in their respective areas such as recruiting, admissions, course offerings, comprehensive examinations, etc. The DGS's represent their respective areas on the College Ph.D. Policy Committee.

2.1.4.2 The DGS's have the responsibility for advising all graduate students other than MBA's who do not have an advisory committee. The advisory committee chairs advise all doctoral students whose committees they chair. The staff of the College MBA Center is responsible for advising students in the MBA program.

2.1.4.3 The DUS's are responsible for coordinating the advising for all students who are pursuing an undergraduate major in the area. The Director of the School, in consultation with the Area Coordinator and the area DUS, shall appoint additional advisors in an equitable manner to assist the DUS's in the advising duties. All full-time faculty other than the DUS's and the Area Coordinators shall participate in the undergraduate advising function. The DUS will also serve on the Undergraduate Studies Committee of the School.

2.1.5 The following standing committee will be formed according to the provision of these Operating Rules and Procedures.

a. Undergraduate Studies Committee

2.1.5.1 The Undergraduate Studies Committee will be chaired by the Director of the School and shall consist of the DUS's. Committee responsibilities include those issues relevant to

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

2.1.5.2 . Teaching assistants shall be carefully supervised and guided in their duties and responsibilities. An experienced teacher in the educational unit shall provide this service. If necessary and available, funds should be designated specifically for the supervision of basic courses to which teaching assistants are assigned.

Teaching and research assistants are full-time graduate students and should be assigned responsibility requiring no more than fifty (50) percent of their time. Normally for teaching assistants, this would mean service for not more than an average of twenty (20) hours per week including time spent in preparation, classroom and laboratory teaching, grading papers, counseling students, or in any combination of those activities in which teachers are customarily engaged. The responsibilities of research assistants will vary with the fraction of time for which they are employed, but normally a one-half time appointment should require no more than twenty hours per week of assignable duties.

Teaching and research assistants who are doctoral students shall serve no more than five (5) years without successfully completing their qualifying examinations.

Graduate teaching and research assistants shall maintain satisfactory academic records and progress toward degrees. Their assistantships shall not be renewed if their academic progress is unsatisfactory.

Teaching assistants shall be represented in educational unit deliberations about courses for which they have any classroom teaching responsibilities.

At the outset of the academic year, the SOM shall require the attendance of all new teaching assistants at an orientation program designed to inform them of their upcoming duties, rights, and responsibilities. This program shall be in addition to any University orientation program.

2.1.5.3 The Gatton College Ambassadors is a body consisting of selected undergraduate students in the Gatton College of Business and Economics. From time to time, the Director of the School may desire to consult with the ambassadors, or with individual members thereof, on such matters as recommendations for promotion and tenure of faculty, courses or course changes and programs or program changes. Further, upon request of the ambassadors, the Director of the School will be available for discussion of issues as may be raised by the ambassadors.

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 School 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 Director or elected by the faculty to carry out the activities of the School or advise the Director 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 School 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 Director shall be responsible for keeping a current compilation of the School's policies. These shall consist of all continuing School policy decisions which do not amend the School 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 School of Management is available in the current University of Kentucky Catalogue.

Section 3.2 CHANGES IN PROGRAMS, COURSE OFFERINGS OR COURSES

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

3.2.3 All course proposals or course changes for which graduate credit may be received must be approved by the College Graduate Studies Committee.

Section 3.3 SCHEDULING AND STAFFING ON COURSES

3.3.1 The Director is responsible for scheduling classes after consultation with the Area Coordinators and consultation with the faculty on teaching desires and times. The Area Coordinators are to seek the advice of the DUSs and DGSs. In the event of conflict in teaching assignments or schedules, priorities are to be based upon rank and then seniority.

3.3.2 The staffing of courses are to be staffed according to established priorities.

3.3.2.1 Graduate courses (numbered 500 and above)

- a. by full-time departmental faculty who are full or associate members of the Graduate Faculty; then
- b. by full-time departmental faculty with terminal degree; then
- c. by part-time departmental personnel with terminal degree; then
- d. emergency

3.3.2.2 Undergraduate courses (number 400 – 499)

- a. by full-time departmental faculty with terminal degree; then
- b. by full-time departmental personnel who are current ABD's; then
- c. by full-time departmental personnel; then
- d. by part-time departmental personnel with terminal degree; then
- e. by part-time departmental personnel: with terminal degrees, or are ABD, or have relevant professional academic qualifications; or who are doctoral students; then
- f. emergency

3.3.2.3 Undergraduate courses (number 300 – 399)

- a. by full-time departmental faculty with terminal degree; then
- b. by full-time departmental personnel who are current ABD's; then
- c. by full-time departmental personnel; then
- d. by part-time departmental personnel with terminal degree; then
- e. by part-time departmental personnel: with terminal degrees, or are ABD, or have relevant professional academic qualifications; or who are doctoral students; then
- f. emergency

- 3.3.2.4 Undergraduate courses (number 0 – 299)
- a. by full-time departmental faculty with terminal degree; then
 - b. by full-time departmental personnel who are current ABD's; then
 - c. by full-time departmental personnel; then
 - d. by part-time departmental personnel with terminal degree; then
 - e. by part-time departmental personnel: with terminal degrees, or are ABD, or have relevant professional academic qualifications; or who are doctoral students; then
 - f. emergency

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 School Faculty may initiate an amendment and distribute copies of the proposal at any regular meeting of the Departmental Faculty. Such distribution 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 School Faculty attending the next regular meeting.

Section 4.3 REVIEW

The School shall formally consider the question of Operating Rules and Procedures review at intervals no greater than five years. At any time within such intervals the Director 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 approval of the Provost of the University.

Section 4.5 UPDATING

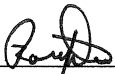
Amendments to the Operating rules and Procedures shall be included at their proper place in the document, rather than added serially at the end. All wording which has been removed from the document by Amendment shall be deleted from the updated copies. All wording added by amendment shall be so identified in updated copies of the document by being underlined, and the date of the amendment shall be indicated in parentheses following the underlined provisions.

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 Director of the Department to keep the Operating Rules and Procedures updated. Updated versions shall be distributed to the faculty.


1/30/95
Proposed Amendments 11/08
Approved 3-6-09
Proposed Amendments 2/14/11

These Rules of Procedure have been created and approved by the Faculty of this Department, pursuant to the authority granted by the Administrative and Governing Regulations of the University of Kentucky. These rules do not become effective until submission to the Dean of the Gatton College of Business and Economics and to the Provost for approval for consistency with University rules and regulations. Any modification to these rules must also be approved by the Dean and Provost for said consistency. A current copy of the approved rules for this Department is available in the office of the Chair, the Dean of the College, and the Provost's office.



Director (indicating approval by the Faculty)

2/21/11
Date



Dean of the Gatton College of Business and Economics

2/21/11
Date

Provost of the University of Kentucky

Date



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1/30/95

Proposed Amendments 11/08

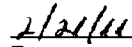
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Director (indicating approval by the Faculty)



Date



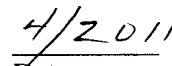
Dean of the Gatton College of Business and Economics



Date



Provost of the University of Kentucky



Date