

**College of Education Rules of Shared Governance**  
*Current as of February 14, 2020*

**Preface**

The purpose of these governing policies is to promote efficient and effective conduct of the mission of the College of Education. These rules are intended to be consistent with the *Governing Regulations* (hereafter referred to as GR) and the *Administrative Regulations* (hereafter referred to as AR) of the University of Kentucky, which are incorporated by reference in this document. The faculty of the College adopted this governance document to provide an authorized framework for effective College functioning.

Each College Faculty of the University is encouraged to participate in the collegial system of shared governance. The College Faculty is the educational policy-making entity of the College of Education. College educational policy is subject to approval of the appropriate governing bodies of the University.

**Organization of the Document.** In addition to the Preamble, the Mission, Vision and Values Statements and the Academic Structure of the College, the Rules of Shared Governance Document contains three core elements or parts. These three parts readily identify the responsibilities of the faculty and those procedures and policies that are the responsibility of the Dean and delegated administrators of the College.

## **Part I. Rules for Faculty Educational Policy Making** ***Applicable Governing Regulation: GR VII***

### **A. Faculty Membership**

#### **Faculty Title Series**

Full-time faculty members in the College of Education are employed in regular, special, research, clinical, or lecturer title series positions. University regulations related to appointment, reappointment, promotion, and the granting of tenure for all title series can be accessed at the following links:

Regular title – <http://www.uky.edu/regs/files/ar/ar2-2-1.pdf>

Special title – <http://www.uky.edu/regs/files/ar/ar2-4.pdf>

Clinical title – <http://www.uky.edu/regs/files/ar/ar2-6.pdf>

Lecturer title series – <http://www.uky.edu/regs/files/ar/ar2-9.pdf>

Research title series - <http://www.uky.edu/regs/files/ar/ar2-5.pdf>

The College Faculty of the College of Education shall consist of its Dean, Associate Deans, and full-time faculty whose primary appointments are in the College of Education and who have the rank of assistant professor, associate professor, or professor in the regular or special title series. By majority vote in any meeting, the College Faculty may extend membership, with or without voting privileges, to any other person(s) assigned to it for teaching, research, or administration.

By a majority vote in College Faculty meeting, the members of the College Faculty may afford voting participation on specific items (e.g., accreditation topics) to any other full time person(s) assigned to it for teaching, research, or administration.

**NOTE:** "Faculty employees with administrative assignments at or above department chair are not eligible to participate in the election of faculty representatives, or serve as the elected faculty representative, to faculty governance bodies above the college level (for example, but not limited to, Board of Trustees, University Senate, Graduate Council, Undergraduate Council, and Health Care Colleges Council)." [HR 4.1]

**NOTE:** On graduate program matters, only those with associate or full graduate faculty status may vote on matters related to a graduate program.

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.

## **B. Faculty Officers**

### *Chair*

The Dean of the College shall serve as chair of the faculty with the privilege to vote in the event of a tie vote of the faculty. The Dean is a non-voting ex-officio member of all college committees.

### *Recording Secretary – Staff*

The Dean's administrative assistant, or the Dean's designee, shall serve as recording secretary of the Faculty Meetings with responsibility to record and prepare the minutes and submit to the Faculty Council for approval within 5 days following the meeting. The Faculty Council, after review and approval, shall submit the minutes for final approval to the College Faculty at least 2 weeks prior to the next regularly scheduled meeting.

### *Parliamentarian*

A faculty member may be appointed by the Faculty Council. The parliamentarian shall advise the Presiding Officer on parliamentary procedures.

## **C. Meetings**

### *Regular Meetings*

Faculty meetings (as described in GR VII 4.B) shall be scheduled monthly during the fall and spring semesters, starting with the beginning of the term (e.g., August & January)

with date, time and place to be determined by the Dean in consultation with the Faculty Council, except when the Dean and Faculty Council, together, determine a meeting is not necessary by a majority vote. In accordance with GRVII 4.B, the Dean shall preside over these meetings except as the dean may delegate that function.

### *Special Meetings*

Special meetings may be called by the President of the University, the Provost, the Dean, the Faculty Council, or by written request to the Faculty Council Chair by 10% of the members of the College voting faculty. The agenda shall be restricted to those items for which the meeting is called.

### *Agenda*

The agenda for each meeting shall be determined by the Dean in consultation with the Faculty Council. Items for the agenda must be submitted to the Dean at least ten working days prior to the scheduled meeting.

Any item proposed by a faculty member shall be considered for inclusion on the agenda by the Dean. Any item submitted to the Dean by a college faculty member (voting or non-voting) that has the written endorsement of an additional five (5) college voting members must be included on the agenda.

The agenda of each regular faculty meeting shall be distributed to the faculty at least five working days prior to the scheduled meeting.

### *Conduct of Business, Quorum and Open Meetings Provisions*

A quorum of the college faculty shall consist of fifty (50) percent of the voting membership who are not on leave of absence, sabbatical leave, or leave because of less than 9-month assignment period. The faculty shall make decisions by a simple majority vote of its voting members present and voting at any meeting, except amending the rules of the faculty, which shall require a majority (as defined by Robert's Rules of Order) of the total voting membership of the faculty.

There shall be no voting by proxy.

Faculty meetings are conducted in accordance with the Kentucky Open Meetings Act (KRS 61.805—61.850). Secret ballot voting is prohibited by statute. A public record of votes must also exist. The College will use an Audience Response System (ARS) (e.g., electronic remotes) for the vote polling. Each voting member will receive instructions for deploying the ARS and use these for formal voting. Faculty Council will be responsible for certifying the voting membership assignment of the ARS. The Recording Secretary (staff) of the college faculty will be responsible for storing the ARS (if applicable) and providing them to voting members for the meeting. Meetings are open to anyone who wishes to attend. Alternatively, roll call voting will be used or other KRS 61.805—61.850 compliant measures.

The privilege of the floor remains with the college faculty. Anyone not on the college faculty who wishes to speak must ask the Chair or Presiding Chair for the privilege of the floor.

## *Minutes*

The minutes of each faculty meeting will be prepared by the recording secretary and circulated to the Faculty Council chair or designated representative within 5 days following the meeting. They will then be circulated to the entire college faculty, after review and approval in Faculty Council, at least 2 weeks prior to the next regularly scheduled meeting.

The recording secretary, or Dean's designee, is responsible for supervising the maintenance of files (including posting to online archives) of the faculty meeting minutes and correspondence in the College administrative offices.

## *Parliamentary Procedures*

All College Faculty and committee meetings shall be conducted according to *Robert's Rules of Order, Revised* at <http://www.rulesonline.com/>

In order to maximize participation in College Faculty meetings, the order of business at each regular meeting shall be:

- Call to Order/Roll Call
- Approval of the Minutes of the Last Meeting
- Old Business
- New Business
- Report from the Dean or Dean's designee
- Report of Committees
- Announcements
- Suggestions for items to consider for next meeting
- Adjournment

## **D. Committee Structure**

### **1. Charge to the College Faculty for responsibilities over educational policy making (as per University Governing Regulations)**

Within the limits established by the *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 department. (GR VII.A.4.C)

### **2. College Faculty Council**

Shall follow Faculty Council Policies and Procedures as detailed in the College Rules Document;

Shall maintain liaison with the departments, units, programs of the College, and with other Faculty Councils within the University;

Shall serve upon request in an advisory capacity to the Dean;

Serve as a source of input on issues of concern of by all faculty employees of the college, including non-tenure track employees;

Shall develop and provide mechanisms to inform the faculty about University and College organizations (e.g., COE faculty handbook, new faculty orientation);

Shall interpret the Rules and Procedures of the College and may recommend to the faculty any modification thereof;

May make recommendations to the faculty on any matters that should be addressed to the Dean of the College, the Provost, the President of the University, or the University Senate;

Shall study and make recommendations relative to specific issues, which have College-wide, long range impact;

Shall review and evaluate existing educational rules and policies;

Shall be responsible for conducting all College faculty elections;

Shall appoint members of the standing faculty committees immediately following the department election process, (see 3 below), which will generally be concluded in April of each year. No later than May 16th of each year, the Council shall approve the Chair-elect for each standing committee based on the recommendations from the respective committees. It shall inform the faculty of all committee appointments;

Shall be responsible for organizing and planning the college's new faculty orientation and other faculty development activities (e.g., promotion and tenure dossier preparation panels);

Shall be responsible for overseeing standing and ad hoc faculty committees in order to expedite faculty business; Faculty council shall appoint liaisons to each faculty committee. Liaisons do not serve as members of the committees (unless previously elected to the committees by departmental faculty), but rather serve to facilitate productive communication between the committees and faculty council.

Shall receive, review and recommend to faculty requests for voting and non-voting membership in the College Faculty organization;

Shall act on behalf of the faculty when the faculty is unable to meet and shall report such

actions to the College Faculty at the next faculty meeting; and

Shall perform other responsibilities as delegated to it by the college faculty.

## **Membership**

### *Voting*

Each department will be responsible for electing one full time tenured representative from their department, excluding the dean, associate deans, assistant deans, department chairs, and assistant department chairs, to serve a three-year term. Additionally, three tenured at-large members and two alternates will be elected from the voting membership of the college faculty, excluding the dean, associate deans, assistant deans, department chairs, and assistant department chairs. A department may not have more than two representatives on Faculty Council at any given time.

The first and second alternates have voting privileges when substituting for an absent at-large Council member. If a Faculty Council member is unable to attend, then any Faculty Council-eligible member of a Faculty Council member's department may serve as a substitute. The substitute will have voting privileges.

### *Non-voting*

The Dean serves as an ex-officio, non-voting member of Faculty Council.

The COE University Senators and COE Senate Council members, who are not elected members of Faculty Council, serve as ex-officio, non-voting members of Faculty Council. *Revised April 16, 2019*

### *Elections to Faculty Council*

*Department Representative:* Each department is responsible for electing one Faculty Council-eligible representative from their department to serve a three-year term. This election should be held no later than April 30 in the last semester of the three-year term.

*At large representatives and alternates:* Elections to the Faculty Council shall take place during the month of April in the last semester of the three-year term and shall take place by online ballot. The election will be coordinated by the Chair and Vice Chair of the Faculty Council, in consultation with the Faculty Council. A list of eligible faculty (tenured and not from a department already represented twice) will be curated and posted. All voting college faculty are eligible to vote. The positions of alternate will be filled by the next two highest vote counts and will be elected each year.

### *Term of Office*

The term of office for Faculty Council members shall be for three years, August 16 – May 15. The term of office for alternates shall be for one year, August 16 – May 15.

Only two consecutive terms as a full member may be served. Then a one-year (1 year) break from service is required.

<b>Department</b>	<b>Staggered Term</b>
EDC	2011 – 2014
EDL	2013 – 2016
EDP	2012 – 2015
EDSRC	2012 – 2015
EPE	2012 – 2015
KHP	2013 – 2016
STEM Education	2011 – 2014
At Large	2011 – 2014
At Large	2012 – 2015
At Large	2013 – 2016
COE Senators	ex-officio

*Faculty Council Chair and Vice Chair*

Faculty Council shall elect a chair (if necessary) and vice chair, by majority vote, no later than April 1 of the year prior to serving. The Faculty Council chair and vice chair may not be members of the same department. Elected chairs shall have served on the council at least 1 year prior to being elected chair. The length of term of a chair is two years. If the chair’s term as a Faculty Council Member is scheduled to expire during this time, the term will be extended to match the chair’s elected term. Furthermore, the chair shall be a voting member of Faculty Council until the end of the chair’s term. The chair will not remain in the departmental or at-large position that they have represented after the expiration of their elected Faculty Council membership but will count towards the maximum number of two representatives allowed by department . The Vice Chair is the chair designee and assumes the role of Chair at the end of the current Chair’s term. A chair or vice chair’s term of office may not result in exceeding the term limits of two consecutive 3-year terms (to be followed by the one-year break from service). *Revised April 16, 2019*

**Vacancies**

If a department representative member resigns or becomes ineligible to serve, the department shall be responsible for electing a tenured replacement in time for the next Faculty Council meeting or within 30 days of the vacancy occurring. The replacement department representative will be a member until the term of the member they are replacing expires.

If an at-large member resigns or becomes ineligible to serve, the first alternate will become a member until the term of the member they are replacing expires.

If the position of first alternate becomes vacant, the second alternate shall become first alternate.

If the position of second alternate becomes vacant, the member of the faculty who at the last election received the next highest number of votes shall serve in the position until the next election.

## **Removing Members of Faculty Council**

Faculty Council members who fail to attend at least 75% of the meetings in any academic year may be removed from office following review by Faculty Council at the end of the academic year. The review will be conducted by the chair, vice-chair and one other Faculty Council member selected by the Faculty Council and will examine extenuating circumstances that may have caused the violation. The review members will make a recommendation to Faculty Council. At the conclusion of the review, Faculty Council will determine expulsion or retention of the member by a majority vote.

## **Responsibilities of Members and Alternates**

The members shall elect a chair, vice chair and recording secretary.

Members or designated alternates shall attend all scheduled meetings. The chair must be notified prior to each meeting of any inability to attend. Two absences without notification within one academic year will result in ineligibility to serve on the Faculty Council without Faculty Council review.

Members and or designated alternates may submit items for the agenda.

### *Responsibilities of the Chair*

The Chair shall appoint Council members or alternates to perform the following duties:

- Coordinate elections
- Generate correspondence as determined by the Council;
- Update/Upkeep of the COE Faculty Governance Website
- Report on Faculty Council activities at COE Faculty meetings;
- Serve as chair of the faculty meeting in the absence of the Dean or the Dean's representative; and
- Assure maintenance of an attendance record at Council meetings.

### *Responsibilities of the Vice Chair*

The Vice Chair will be the chair designee and assist the Chair in fulfilling the responsibilities of the Council. The Vice Chair will be responsible for collecting standing committee information, including membership and chairs, circulating the standing committee list no later than May 15 each year and working with the Director



of Information Systems to ensure it is posted online on the faculty governance website.

#### *Responsibilities of the Recording Secretary*

The Recording Secretary will be responsible for taking notes at each meeting and submitting minutes to Faculty Council for approval within seven working days of the meeting. Following approval, the recording secretary shall be responsible for posting (e.g., on the faculty governance website) the minutes so they are accessible to all college faculty.

### **Recommendations and Reports**

Recommendations for action are made to the faculty.

Interim or progress reports shall be presented to the faculty as needed or on request.

An oral or written annual report of activities shall be presented to the faculty at college faculty meetings or upon request of the college faculty.

### **Meetings**

Regular meetings of the Faculty Council shall be held at least once a month during fall and spring semesters.

Additional or special meetings of the Faculty Council may be called by the chair, vice chair, or a majority of the Council members upon notifying the Council members at least three days prior to the meeting.

A quorum of the Faculty Council shall consist of a majority of the voting membership.

Faculty Council meetings shall be conducted according to Roberts Rules of Order - Revised (<http://www.rulesonline.com/>).

Minutes of the Faculty Council shall be prepared by the member serving as recording secretary and circulated to all council members within seven working days. Copies of the Faculty Council minutes shall be on file and available to the faculty and posted on the College website.

## **3. Name of, charge to, membership determination of, the standing committees**

### **(a) General Information**

#### **Membership**

Each department will be responsible for electing one qualified representative from their department to serve a three-year term on the college standing committees. This election should be held no later than April 30 in the last semester of the three-year term. The department chair shall be responsible for submitting the names of elected

committee members to the Faculty Council vice chair no later than April 1 in the last semester of the three-year term.

Ex-officio members may be invited by the standing committee or appointed by the Dean. All ex-officio terms are one-year terms (August - May) and may be reappointed. Ex-officio membership should be submitted to the Vice Chair of Faculty Council for approval by the Faculty Council.

Ex-officio members may not serve simultaneously as voting, elected members within the same committee.

#### *Term of Office*

The term of office for committee members shall be three years August 16 – May 15 (considered one-year). Only two consecutive terms as a member may be served. Then a one-year break from service is required.

To ensure a staggering of terms for all committee membership, the College of Education Faculty adopted recommendations for revisions for the terms for standing committees in February 2014. Modifications made to membership terms limited turnover in a given year and supported continuity of veteran committee members. The three-year terms noted in the Standing Committee membership sections reflect these revised term start dates.

#### *Committee Chair*

Each committee shall elect a chair, by majority vote, no later than April 1 of the year prior to serving. Elected chairs should have served on the committee at least one year prior to being elected chair. The length of term of a chair is two years or the end of the elected member's term on the committee, whichever comes first. Names of the elected chairs should be submitted to the Faculty Council vice chair no later than April 1 for approval by the Faculty Council no later than April 30. Ex-officio members are not eligible to serve as chairs of committees.

### **Meetings**

Regular meetings of committees shall be held at least once a month during fall and spring semesters in order to conduct business, except when the committee chair and committee members, together, determine a meeting is not necessary by a majority vote.

Additional or special meetings of the committees may be called by the chair or a majority of the committee members upon notifying the committee members at least three days prior to the meeting.

A quorum of the committee shall consist of a majority of the voting membership.

Minutes of the committee meetings shall be prepared by the member serving as recording secretary and circulated to all committee members within seven working

days. Copies of the committee minutes shall be on file and available to the faculty and posted on the College website.

### **Order and Conduct of Business**

Committee meetings and business shall be conducted according to Roberts Rules of Order, Revised (<http://www.rulesonline.com/> ).

### **Vacancies**

If a department representative member resigns or becomes ineligible to serve, the department shall be responsible for electing a qualified replacement in time for the next committee meeting or within 30 days of the vacancy occurring. The replacement representative will be a member of the committee until the term of the member they are replacing expires.

### **Removing Members of a Standing Committee**

Committee members who fail to attend at least 75% of the meetings in any academic year may be removed from office following review by the committee chair, one Faculty Council representative (appointed by the Faculty Council Chair), and one other committee member selected by the committee. The review will examine extenuating circumstances that may have caused the violation. The review members will make a recommendation to the committee. At the conclusion of the review, the committee will determine expulsion or retention of the member by a majority vote.

### **Responsibilities of Members of all Standing Committees**

The members shall elect a chair.

Members shall attend all scheduled meetings. The chair must be notified prior to each meeting of an inability to attend. Two absences without notification within one academic year will result in ineligibility to serve on the committee and will result without review. The department will be asked to elect a replacement representative.

Members may submit items for the agenda.

### **Creation or Changing of Standing Committees**

The opportunity exists from time to time to add/delete/revise a committee in response to needs from our several constituencies. The Faculty Council, in conjunction with the Rules Committee, prepares such recommendations for approval by the College faculty.

### **(b) Committee on Courses and Curricula**

**MEMBERSHIP:** One member representing each department, elected by departments for a three-year term.

**LEADERSHIP:** Only tenured faculty may serve as chair of the Courses and Curricula

Committee.

<b>Department</b>	<b>Staggered Term</b>
EDC	2012 – 2015
EDL	2011 – 2014
EDP	2012 – 2015
EDSRC	2011 – 2014
EPE	2011 – 2014
KHP	2013 – 2016
STEM Education	2013 – 2016

FUNCTION: Reports to faculty; reviews all proposals for new courses, changes in courses, new programs of study, modified programs of study, and degree programs; may, on its own initiative, study existing programs; studies each proposal, consults with appropriate departmental representatives, and makes a recommendation to the faculty; prepares a written statement, where the proposal is not supported, explaining the basis for objections and distributes this statement to the College faculty eight business days prior to the appropriate faculty meeting.

***Policy for Submission and Review of Courses & Curricula:***

Course and program proposals are generally initiated by faculty members, program or department chairs, course instructors, or program administrators. The faculty member will complete the appropriate form on UK's Curriculog (Curricular Proposal).

Upon departmental approval, the application form is submitted to the College of Education's Courses and Curricula Committee (C&C). The application form is submitted via Curriculog and is available for review by members of the C&C Committee prior to their regular scheduled meeting, and the proposal is placed on the C&C Committee meeting agenda. Proposals must be submitted two weeks prior to the regular scheduled C&C Committee meeting.

The Courses and Curricula Committee reviews each application and will vote on a proposal in the following manner: 1) approval without changes, 2) approval pending recommended changes, 3) defer a decision pending more information from the submitter, or 4) rejection.

If the Courses and Curricula Committee approves the application, the Committee's secretary (under the authority of the Committee chair) will post the decision on the Courses and Curricula webpage on the College of Education website no fewer than ten days before the next faculty meeting. The committee chair, or their designee, will notify faculty members and Program Faculty Chairs via e-mail that the decisions have been posted. If a faculty member has concerns, the faculty member should first contact the proposer. If the respondent's concerns have not been adequately addressed to his/her satisfaction they should contact, via e-mail, the C&C Committee

chair. If a faculty member has a concern about a C&C item, it may also be raised in open session at the College-Wide meeting.

If no objections have been raised to the C&C chair within the ten day period, the proposal is considered approved by the College and will move forward.

Course and program applications approved by the College are forwarded by the C&C secretary to the Undergraduate Council and/or the Graduate Council via Curriculog or email.

Depending on the nature of the proposal and the volume of applications at each level, this process can take several months to complete. You can check on the status of curricular proposals on Curriculog. It is the responsibility of the proposer to help track the proposal through the processes to ensure it is moving forward in a timely manner.

**(c) The Committee on Media and Information Systems**

MEMBERSHIP: One member elected by each department for three-year terms. The Education Librarian serves as a non-voting, ex-officio member.

Department	Beginning Term*	Staggered Term
EDC	2015 – 2017	2017 – 2020
EDL	2015 – 2016	2016 – 2019
EDP	2015 – 2018	2015 – 2018
EDSRC	2015 – 2018	2015 – 2018
EPE	2015 – 2016	2016 – 2019
KHP	2015 – 2016	2016 – 2019
STEM Education	2015 – 2017	2017 – 2020
Education Librarian		ex-officio

\* Since this is a new committee, staggered terms must be set.

FUNCTION: The Committee on Media and Information Systems shall be responsible for identifying and reporting on policy issues related to technology and ensuring that faculty perspectives are represented in technology, media and information systems-related policy issues. The committee will support the promotion and dissemination of faculty research and instructional activities to internal and external audiences through media and technology. Additionally, this committee will serve as a liaison between the College and the library and act to ensure library support for the College. The Committee on Media and Information Systems will also support the College’s program areas and the content of their respective courses by soliciting guidance and feedback from faculty members and course instructors on the nature and titles of materials they want purchased to support the educational mission of the College. *Revised April 16, 2019*

**(d) Rules Committee**

MEMBERSHIP: One member elected by each department for three-year terms. The Faculty Council Chair or their Designee is a non-voting, ex-officio member.

<b>Department</b>	<b>Beginning Term*</b>	<b>Staggered Term</b>
EDC	2015 – 2018	2015 – 2018
EDL	2015 – 2017	2014 – 2017
EDP	2015 – 2018	2015 – 2018
EDSRC	2015 – 2017	2014 – 2017
EPE	2015 – 2017	2014 – 2017
KHP	2015 – 2016	2016 – 2019
STEM Education	2015 – 2016	2016 – 2019
Faculty Council Chair		ex-officio

\* Since this is a new committee, staggered terms must be set.

**FUNCTION:** The Rules Committee is charged with codifying, making editorial changes in, and interpreting the College and Department Rules documents at the direction or with the approval of either the Faculty Council or the College Faculty. It shall evaluate and revise any section of the Rules Document where necessary to eliminate inconsistencies, clarify confusing statements, and note omissions, and may initiate or suggest to the Faculty Council any necessary modification in the Rules.

**(e) Graduate Recruitment, Retention and Student Success Committee**

**MEMBERSHIP:** One member elected by each department for three-year terms. Election of Department Directors of Graduate Studies (DGS) is encouraged but not required. Should a DGS be elected to the committee, but during the committee term, the DGS's term expires or changes (at the department level), the committee member will continue on the committee to fulfill the term, unless a change in committee representative is explicitly requested by the faculty of the department.

<b>Department</b>	<b>Beginning Term*</b>	<b>Staggered Term</b>
EDC	2015 – 2017	2017 – 2020
EDL	2015 – 2017	2017 – 2020
EDP	2015 – 2018	2015 – 2018
EDSRC	2015 – 2016	2016 – 2019
EPE	2015 – 2016	2016 – 2019
KHP	2015 – 2016	2016 – 2019
STEM Education	2015 – 2018	2015 – 2018

\* Since this is a new committee, staggered terms must be set

**FUNCTION:** To support and review the policies and functions of the various offices, personnel (including faculty) and programs that promote recruitment of diverse, academically prepared graduate students; retain graduate students over the course of their programs; ensure success to graduation for graduate students in the college; and to maintain clear lines of communication with the Directors of Graduate Studies in the

departments and also with the Graduate School as needed. Annual review of recruitment, retention and graduation metrics will be a function of this committee and using data-driven decision-making processes in order to make recommendations for improvement of these functions in the College. The committee is charged with gathering additional information as needed to make recommendations to improve the educational and broad academic policies of the College that may positively affect the success and positive educational experiences of our graduate students.

**(f) Undergraduate Recruitment, Retention and Student Success Committee**

MEMBERSHIP: One member elected by each department for three-year terms. Election of Department faculty who are program chairs of undergraduate programs is encouraged but not required. Should an undergraduate program chair be elected to the committee, but during the committee term, the program chair’s term expires or changes (at the department level), the committee member will continue on the committee to fulfill the term, unless a change in committee representation is explicitly requested by the faculty of the department.

<b>Department</b>	<b>Beginning Term*</b>	<b>Staggered Term</b>
EDC	2015 – 2018	2015 – 2018
EDL	2015 – 2016	2016 – 2019
EDP	2015 – 2018	2015 – 2018
EDSRC	2015 – 2017	2017 – 2020
EPE	2015 – 2017	2017 – 2020
KHP	2015 – 2016	2016 – 2019
STEM Education	2015 – 2017	2017 – 2020

\* Since this is a new committee, staggered terms must be set

FUNCTION: To support and review the policies and functions of the various offices, personnel (including faculty) and programs that promote recruitment of diverse, academically prepared undergraduate students; retain undergraduate students over the course of their programs; ensure success to graduation for undergraduate students in the college; and to maintain clear lines of communication with the undergraduate program chairs and department chairs in the college and also with the various University Offices and programs that support student recruitment, retention and success as needed. Annual review of recruitment, retention and graduation metrics will be a function of this committee and using data-driven decision-making processes in order to make recommendations for improvement of these functions in the College. The committee is charged with gathering additional information as needed to make recommendations to improve the educational and broad academic policies of the College that may positively affect the success and positive educational experiences of our undergraduate students.

**(g) Research Advisory Committee**

MEMBERSHIP: One member elected by each department for three-year terms. Members should be active researchers.

LEADERSHIP: The chair of the Research Advisory Committee should be a tenured, associate professor or higher within the College of Education.

Department	Staggered Term
EDC	2013 – 2016
EDL	2013 – 2016
EDP	2011 – 2014
EDSRC	2012 – 2015
EPE	2011 – 2014
KHP	2012 – 2015
STEM Education	2011 – 2014

FUNCTION: The Research Advisory Committee provides direction, guidance, innovation, and support for research and input on any and all general matters concerning the research mission of the College of Education.

**(h) Faculty and Student Recognition Committee**

MEMBERSHIP: One member elected by each department for three-year terms.

Department	Beginning Term*	Staggered Term
EDC	2015 – 2018	2015 – 2018
EDL	2015 – 2018	2015 – 2018
EDP	2015 – 2017	2017 – 2020
EDSRC	2015 – 2017	2017 – 2020
EPE	2015 – 2018	2015 – 2018
KHP	2015 – 2016	2016 – 2019
STEM Education	2015 – 2016	2016 – 2019

\* Since this is a new committee, staggered terms must be set.

FUNCTION: The Faculty and Student Recognition Committee is responsible for promoting and supporting the awards for scholarships, fellowships, teaching, research, service, entrepreneurship, innovation etc. Specifically the committee will make available lists of possible awards, deadlines and application procedures for university and college level awards as well as for national and international awards. The committee will work closely with Department Chairs for identifying suitable candidates for the aforementioned awards and recognitions.

**(i) Inclusiveness Committee**

MEMBERSHIP: One member elected from each department for three-year terms. One staff member, as designated by staff council, for a three year term.



<b>Department</b>	<b>Staggered Term</b>
EDC	2013 – 2016
EDL	2012 – 2015
EDP	2013 – 2016
EDSRC	2011 – 2014
EPE	2011 – 2014
KHP	2012 – 2015
STEM Education	2011 – 2014
Staff	2019 - 2022

**FUNCTION:** The Inclusiveness Committee is dedicated to the development and maintenance of an environment for faculty, staff, and students in which discussion about issues of race, ethnicity, gender, religion, privilege, class, disability, sexuality, geographic differences, intersectionality of identity statuses, and other aspects of diversity, can occur in an open and supportive atmosphere. The purpose of these discussions is to affect positive change as it relates to recruitment and retention, teaching and learning, and research and practice. Through conversation and action, the desired outcome is to create a non-discriminatory and non-exclusionary learning and working environment. It promotes this mission by supporting faculty and student research and engagement in local, national and international initiatives and encouraging curriculum development with a global vision.

#### **4. Formation ad hoc committees**

Other than their temporary nature, *ad hoc* committees have the same status and responsibilities as all other committees of the College. They shall be appointed by the Faculty Council to address academic problems and issues facing the College. For example, such committees could deal with problems or issues as they arise in the areas of teaching and advising, student affairs, computer resources, continuing education, special teaching technologies and so forth. These committees expire no later than one year after their appointment unless the Faculty Council acts to renew the committee's existence for another year.

#### **5. Election to University Senate**

Applicable US 1.2.2.1

##### **Election**

The respective faculties of each college (including the Graduate School and Libraries as equivalent to colleges; GR VII.A.1) represented in the Senate shall conduct elections for vacancies in the second semester of the academic year, with the representatives elected taking office on August 16 of the following academic year. The election shall be conducted by secret ballot by a procedure approved by the College faculty. A copy of these procedures, that include any college policy under which faculty employees have

been extended voting privileges for senator elections by the authorized college faculty body, shall be submitted to the Senate Council Office (SR 1.3.1.3.A.5), together with the names of the elected Faculty Senators whom the college faculty proposes for seating in the Senate. After reviewing the respective college procedures, and the respective rosters supplied by each dean (SR 1.3.1.3.A.7.(c)) of the members of respective college faculty body (i) eligible for election and (ii) eligible to vote, the Senate Rules and Elections Committee shall certify to the Senate Council the list of newly elected Faculty Senators. If the Senate Rules and Elections Committee identifies a matter of noncompliance a college's election process, it shall contact the dean of the college with that information. [US: 10/8/2001; US: 2/3/2003]

- Pursuant to recent changes in the last several years in Administrative Regulations on tenure-ineligible title series and on faculty members with certain administrative appointments, the following terms apply: (1) Tenured faculty employees who have been appointed to an administrative position at or above the level of department chair are not eligible to participate in the election of faculty representatives, or serve as the elected faculty representative, to faculty governance bodies above the college level (e.g., Board of Trustees, University Senate, Graduate Council, Undergraduate Council, and Health Care Colleges Council) (see HRPP 4.0); (2) Regular, full-time faculty employees in a tenure-ineligible series are not eligible for regularly assigned university-level service activities, except that the tenured/tenure-track faculty of a college may allow a tenure-ineligible series to be eligible to vote for representation, and stand for election, specifically to the University Senate, by extending College Faculty membership to that faculty series (to be documented in the College Rules; see AR 2.5, AR 2.6, AR 2.9 for more details). [4/4/11]

The Dean's Office conducts senate elections for vacancies in the second semester of the academic year, with the elected representatives taking office on August 16 of the following academic year. The election is conducted by electronic ballot. The ballot is sent to all full-time faculty members via their UK email address. The faculty members are given two weeks to respond with a one-week reminder. The faculty members with the highest number of votes are asked to represent the College. If there is a tie vote there will be another ballot sent to all full-time faculty members via their UK email address of the faculty members who were tied. The faculty are given one week to respond with a mid-week reminder. The highest number of votes are asked to represent the College.

## **E. Procedures for Amendment of Rules**

In order to facilitate the regular update and review of the rules document, the College of Education has established the Rules Committee, a standing committee in the College. The Rules Committee is charged with codifying, making editorial changes in, and interpreting the College and Department Rules documents, at the direction or with the approval of either the Faculty Council or the College Faculty. It shall evaluate and revise any section of the Rules Document where necessary to eliminate inconsistencies, clarify confusing statements, and note omissions, and may initiate or suggest to the Faculty Council any necessary modification in the Rules.

APPROVALS FOR (PREFACE AND) PART I

Note: Governing Regulations (GR VII.A.6) require  
(1) Approval by Dean for consistency with GRs/ARs/SRs  
(2) Approval by the Provost for consistency with GRs/ARs/SRs

Approval of (Preface and) Part I by the College Faculty

March 10, 2015

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Date of Approval by College Faculty  
College of Education

Approval of (Preface and) Part I by Dean

*Mary John O'Hair*

March 10, 2015

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Mary John O'Hair, Dean  
College of Education

Date

Approval of (Preface and) Part I by Provost

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Tim Tracy, Provost  
University of Kentucky

Date

Session Name: COE Meeting Rules March 2015

Date Created: 3/10/2015 1:50:47 PM

Active Participants: 52 of 52

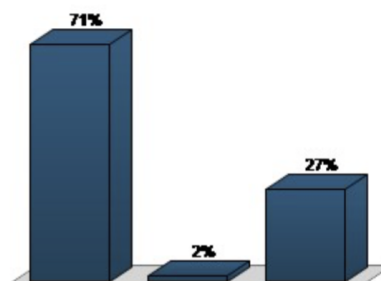
Average Score: 0.00%

Questions: 2

## Results by Question

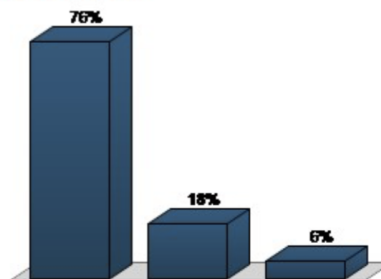
### 1. Are you here today? (Multiple Choice)

	Responses	
	Percent	Count
Yes	70.59%	36
No	1.96%	1
Would rather be dancing in the rain!	27.45%	14
<b>Totals</b>	<b>100%</b>	<b>51</b>



### 2. Approve the College of Ed. Rules of Shared Governance Part I (Multiple Choice)

	Responses	
	Percent	Count
Approve	76.47%	39
Not Approve	17.65%	9
Abstain	5.88%	3
<b>Totals</b>	<b>100%</b>	<b>51</b>



.....  
Notes and Dates on Previous Reviews and Amendments

- May 10, 2016 - Cleaned up ex-officio language on committees.
- Oct. 11, 2016 - Clarified the charge to Faculty Council.
- April 11, 2017 - Added leadership position criteria for Chair of Research Advisory Comm.
- May 9, 2017 - Added leadership position criteria for Chair of Courses & Curricula Comm.

## **PART II. College-Level Procedures for Faculty Personnel Actions**

### **A. Appointment, Reappointment, Nonreappointment, Terminal Reappointment, Promotion, Tenure**

#### **1. Membership of the Appointment, Promotion, & Tenure (APT) Committee**

In accordance with AR II 1.01, page II, each department faculty will be responsible for electing one full time person who holds the rank of associate or full professor with tenure and has been employed at the University of Kentucky for at least three full academic years, excluding the dean, associate deans, assistant deans, department chairs, and assistant department chairs. In addition, members must have a record of research and peer-reviewed publications during the three-year period immediately prior to their being appointed. The members of this committee will serve a three-year term, August 16 – May 15. This election should be held no later than April 30 in the last semester of the three-year term. Only two consecutive terms as a full member may be served. Then a one-year (1 year) break from service is required.

<b>Department</b>	<b>Staggered Term</b>
EDC	2012 – 2015
EDL	2012 – 2015
EDP	2011 – 2014
EDSRC	2013 – 2016
EPE	2011 – 2014
KHP	2013 – 2016
STEM Education	2011 – 2014

#### **2. The Charge of the Appointment, Promotion, & Tenure (APT) Committee**

The dean shall provide the dossier to the College APT Committee and shall obtain a written recommendation from the committee whenever an assistant professor, associate professor, or professor is considered for promotion and/or tenure. A written recommendation from the College APT Committee should also be sought for initial appointments at the ranks of associate professor or professor. Lastly, the dean shall provide the dossier to the College APT Committee, and obtain its written advice prior to making a recommendation or decision on terminal reappointments or decisions not to reappoint. For information on the Comprehensive Tenure Review, see AR 2:1-1, IV, <http://www.uky.edu/Regs/files/ar/ar2-1-1.pdf>.

### **3. Promotion and Tenure Procedures**

A recommendation to promote and/or grant tenure shall originate with the department chair and the departmental faculty in compliance with departmental policy. The procedures to be used in a department for preparing such a recommendation should conform to University of Kentucky Administrative Regulations and departmental rules of procedure. For each recommendation to promote and/or grant tenure, the department chair shall develop a dossier which contains items as identified in AR 2:1-1 Appendix II – Matrix of Dossier Contents, <http://www.uky.edu/Regs/ar.htm>, following the timetable set forth by the Provost. The department chair shall then forward the completed dossier with the chair's recommendation to the dean.

In accordance with AR 2:1 and GR VII, each College of Education academic department has developed 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. To view Statements on Evidences of Activity, see [http://www.uky.edu/Faculty/Senate/rules\\_regulations/college\\_department\\_rules/education.htm](http://www.uky.edu/Faculty/Senate/rules_regulations/college_department_rules/education.htm) (AR 2:1, pages 2-3, <http://www.uky.edu/Regs/files/ar/ar2-1-1.pdf> and GR VII, page 6, <http://www.uky.edu/Regs/files/gr/gr7.pdf>)

#### **B. Faculty Performance Review**

Performance reviews of faculty must be in compliance with University of Kentucky Administrative Regulations (AR 3:10). The performance of non-tenured faculty shall be reviewed annually. The performance of tenured faculty shall be reviewed during the first year of each biennium with the rating applying for the biennium. Any tenured faculty member, upon request, shall be granted an annual review.

A primary purpose of the performance review is individual and institutional self-improvement. To serve this purpose, inputs from students, colleagues, and administrators are to be used. The performance review shall determine for each faculty member both a quantitative assessment and a qualitative judgment of the faculty member's activities during the review period in teaching and advising, research and scholarship, university and public service and engagement, and/or other appropriate activities with relative weighing based upon prior agreement pertinent to the distribution of effort among any or all of these activities. The Distribution of Effort Agreement form(s) signed by the chair, the faculty member, and the Dean shall constitute the written agreement upon which the faculty member will be evaluated. If more than one Distribution of Effort exists for the given evaluation period, the distributions will be averaged.

The initial Performance Review Report is to be generated using Digital Measures (or equivalent software as approved by the College). This report will be in the format designated by the College. Faculty can input data into Digital Measures at any time. The report will be created in a word processing document and therefore can be edited by the faculty member prior to submission to their department chair.

When assessing the quality of faculty performance based on the performance review portfolio, department chairs shall utilize the advice of departmental faculty members. The faculty input may be through an advisory committee or through other appropriate means of

faculty consultation, as defined in the department rules document. The chair recommends a rating to the dean, and a final rating is determined in a conference of the chair and the dean. If the dean and the chair are unable to agree upon an individual's performance rating, the faculty member shall be informed of the ratings of both the chair and the dean and informed that the rating of the dean is final, unless appealed. After final ratings are determined, there shall be a conference between the chair and each faculty member, focusing upon the faculty member's performance of his or her assignment during the period of review, strengths and weaknesses, and suggestions for improvement if appropriate.

*Faculty Performance Review Procedures for Untenured Faculty*

Administrative Regulations (AR:3:10. B.4, <http://www.uky.edu/Regs/files/ar/ar3-10.pdf> ) require that unit administrators consult with the tenured members of the faculty regarding the progress of each non-tenured faculty member toward consideration for tenure in terms of the unit's expectations. These discussions should occur before the end of the non-tenured faculty member's second and fourth years, but may occur more frequently at the administrator's discretion. The results of these discussions should be communicated to the individual non-tenured faculty member and a record of two- and four-year reviews maintained in the faculty member's standard personnel file.

During the fourth year of appointment, an untenured faculty member below the rank of associate professor shall be formally reviewed to evaluate progress toward tenure. By an announced date determined by the Dean, faculty members subject to the fourth-year review shall submit documentation for evaluation by the tenured faculty of the department. Documentation should include a curriculum vita, a narrative of a maximum length of four pages about his or her teaching, research, and engagement/service activities, and (as appropriate) a teaching portfolio. Following review of the documentation, each tenured faculty member shall provide a letter to the department chair identifying the individual's strengths and weaknesses, and evaluating the individual's progress toward promotion using the department's approved statements of evidences (<http://www.uky.edu/universitysenate/college-education-rules>) appropriate for their position as a guideline for the evaluation. Letters to the department chair regarding the untenured faculty member's progress will be made available to the untenured faculty member at least three business days prior to their departmental review meeting or their review meeting with the Dean, whichever occurs first.

**C. Evaluation Form**

The dean, in consultation with the Faculty Council and chairs, develops the evaluation instrument or form used by the College of Education. The dean may seek advice annually from the Faculty Council about potential improvements of the instrument.

The evaluation form reflects the percentage of effort for each area of the faculty member's assignment on the Distribution of Effort form. Performance is rated on a five-point scale: 1 – Unsatisfactory; 2 – Marginal; 3 – Professional; 4 – High Professional; 5 – Outstanding.

**FACULTY PERFORMANCE REVIEW**  
**College of Education**  
**University of Kentucky**  
**Calendar Year <insert year>**

Faculty  
 Member:

Rank:

Department:

Areas of Effort	Numerical Rating* (Whole numbers only)	Distribution of Effort**	Weighted Rating (DOE Composite x Numerical Rating)
A. Teaching and Advising			
B. Research, Creative and Scholarly Activities			
C. University and Public Service			
D. Administration and Professional Development			
<b>Total Score</b>			

\* 1 - Unsatisfactory; 2 - Marginal; 3 - Professional; 4 - High Professional; 5 - Outstanding

\*\* The percentage is an average of the category for DOEs that occur in the calendar year.  
 Example: 2010 review = (2009-2010 value + 2010-2011 value) / 2

Submit the following completed materials for the calendar years reviewed:

1. *Faculty Performance Review*
2. *Faculty Activities Report*
3. *Teaching Portfolio*
4. *Distribution of Effort (DOE) Form*
5. *Optional Narrative:* Not to exceed two pages, to document, expand, or comment on the information provided in items 1-3. This is the place where you may provide any other documentation of your activities and accomplishments that you think is important to consider in the evaluation of your performance.

A. Teaching and Advising



Comments of the Chair:
Faculty Response:

**B. Research, Creative, and Scholarly Activities**

Comments of the Chair:
Faculty Response:

**C. University and Public Service, including community engagement**

Comments of the Chair:
Faculty Response:

**D. Administration**

Comments of the Chair:
Faculty Response:

Additional Comments may be attached.

Department Chair's  
Signature: \_\_\_\_\_

Date: \_\_\_\_\_

---

I do \_\_\_\_\_ do not \_\_\_\_\_ agree with these ratings.

Comments of the Dean:

Dean's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

---

Faculty Member's  
Signature: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_ I do agree with these ratings.

\_\_\_\_\_ I do not agree with these ratings. (Please check one of the following options.)

\_\_\_\_\_ I simply wish to record my disagreement, and do not wish to take any further action.

\_\_\_\_\_ I will submit additional information within 10 days for the Dean and Chair's consideration.

\_\_\_\_\_ I desire a formal appeal to the College's Review and Advisory Committee on Appointments and Promotions.

#### **D. Appeal Procedures**

If a faculty member disagrees with the performance rating, he or she may request a conference with the dean. In such case, the faculty member shall be invited to present additional information relating to performance at the conference involving the dean and the chair. A faculty member who, after a conference with the dean, still disagrees with the rating received may formally appeal to the dean. The appeal shall be heard by a Faculty Appeals Committee appointed by the dean from a list of nominees forwarded to the dean by the Faculty Council. The Faculty Appeals Committee shall not contain any persons on the College APT committee. After the hearing, the committee shall make a recommendation to the dean, and the dean shall accept or reject the recommendation and advise the faculty member of this decision. A faculty member remaining in disagreement with the decision may appeal to the provost for a hearing in accordance with procedures established by the provost (AR 3:10 <http://www.uky.edu/Regs/files/ar/ar3-10.pdf>).

#### **E. College of Education Titled Chairs and Professorships**

##### **1. Criteria and Appointment Procedures**

###### *Criteria:*

- a) Designated college chairs and professorships may be awarded to tenured professors or tenured associate professors in the College of Education. Existing faculty as well as faculty being recruited for vacant faculty positions may be considered. The criteria for such appointments are stated in AR 2:1-1. The title shall reflect the academic rank.
- b) Recipients will be selected on the basis of a distinguished and sustained record in the areas of teaching, research and service to their department, college, university and profession. Emphasis will be placed on substantial and continued contributions. The specific emphases among teaching, research and/or service will depend upon, to a large extent, the wishes of the individual or corporate benefactor funding the professorship or chair.
- c) No person who is a candidate for a College of Education titled chair or professorship may participate in any part of the selection process, and any candidates holding administrative appointments, whose office is a designated part of the selection process, will pass their duties on to the next higher administrator in rank.

###### *Procedures:*

- a) The selection process will be initiated when there are sufficient endowment funds to supply adequate financing for a position. If the chair or professorship is designated for a particular department, the Dean of the College of Education will notify the department chair that the selection process can be initiated. If the chair or professorship is undesignated, the Dean will initiate the selection process.
- b) For a department-designated position, the department chair, in consultation with the Dean of the College of Education, will appoint the Selection Committee. No one who is a candidate may serve on the committee. The Selection Committee will consist of up to five members as follows:
  - 1) A faculty member from the department in which the appointment is to be made.
  - 2) A distinguished UK Education faculty member from another department.

- 3) A distinguished faculty member from another college.
- 4) No more than two additional members as appointed by the Dean.

The committee chair will be elected by the members.

- c) A separate selection committee is not needed if the College of Education, or one of its departments, recruits from outside using a search committee to fill a chaired position.
- d) For an undesignated chair or professorship, the membership of the Selection Committee, as appointed by the Dean, will be identical to that for a department-designated position except that the college representation will consist of two distinguished faculty members from different departments in the College.
- e) The department chair or the Dean will make available to the chair of the Selection Committee any specific requirements or criteria which are to be considered in the selection process. This includes any requirements set forth by the benefactor of the chair or professorship. The department chair or Dean also will provide biographical and professional information on all potential candidates. In particular, such information should include a current résumé and copies of annual performance evaluations for the preceding years. In addition, the chair of the Selection Committee should inform the department chair of any additional supporting material it wishes to examine.
- f) The department chair or the Dean (or the Dean's designee), as appropriate, will act as the liaison and will assist the Selection Committee in advertising and recruiting for the position and in obtaining relevant information. In the event that the department chair is a candidate, the liaison will be appointed by the Dean of the College of Education.
- g) Internal faculty members should not submit applications. Instead, the entire faculty in the department where a designated chaired professor or named professorship is to be appointed will consider the tenured faculty members in that department and will individually indicate to the department chair those they deem suitable for candidacy for the appointment. All tenured faculty members will be considered unless a faculty member notifies the chair in writing that he/she does not wish to be considered for nomination. The department chair will forward the results to the chair of the Selection Committee. For undesignated chairs or professorships, the same process will be used except that it will be conducted on a college-wide basis.
- h) The Selection Committee normally will not interview candidates but may interview or obtain additional information from:
  - 1) Faculty in the department or in related disciplines.
  - 2) The department chairs.
  - 3) The Dean and other administrators within the College of Education.
  - 4) The Dean of the Graduate School, Vice President for Research, and/or Deans of other colleges.
  - 5) Undergraduate and/or graduate students in the College of Education.
  - 6) Governmental personnel, industry personnel, college directors or other sources such as professional societies.
  - 7) Faculty members and administrators at other institutions.

- i) The Selection Committee will forward its recommendations to the Dean of Education through the committee chair. If the Dean concurs with the recommendations, including any recommendations provided by the department chair, he or she will forward them to the Provost. If the Provost concurs with the recommendations, he or she will be asked to submit them through the President to the Board of Trustees. If vetoed at any level, the committee will be asked to submit new recommendations. If vetoed a second time, the committee must be reconstituted and the procedure restarted.
- j) In the event the Selection Committee decides that the standards required have not been met by any of the eligible candidates, the Selection Committee should transmit this decision to the Dean of Education through the department chair, for a department-designated position, or the committee chair, for an undesignated position.
- k) The appointment as a titled chair or professor shall be for a period of no more than five years. The faculty person may be reappointed subject to the review process.
- l) The holder of a titled chair or professorship must relinquish such position in the event he/she no longer remains a tenured member of the College faculty, except that, upon bona fide retirement, the holder shall retain the title (but not the salary) with the term "emeritus" added.

**F. Review procedures and Standards of Evidence for continuing appointment for College of Education Titled Chairs and Professorships**

*Procedures:*

After completion of the initial appointment period, endowed chairs or professors will be reviewed for a continuing appointment. Such continuation appointments may be made for variable periods up to five years. The reviews will be conducted by an Endowed Chair/Professor Review Committee consisting of the Dean (or the Dean's designee), the Chair of the Professor's academic unit, and a current College of Education endowed chair or professor not in the department of the faculty member being reviewed. At its discretion, the Review Committee may request evaluation letters from senior faculty at benchmark universities. The Committee shall review the Professor's productivity since the initial appointment or previous review based on the specific requirements set forth by the benefactor of the chair or professorship. If no specific requirements were set forth, criteria for evaluation will include the Standards of Performance for Holders of Endowed Chairs/Professorships, indicated below. The Committee's recommendation to renew or not to renew, based on review of appropriate materials, as well as the period of renewal will be forwarded to the Provost for action by the Board of Trustees.

**G. Standards of Performance for Holders of Endowed Chairs/Professorships:**

Endowed Chairs/Professors are expected to demonstrate excellence in teaching, research and service/engagement commensurate with the terms of the endowment.

- Continuing record of scholarly publication in top, academically recognized journals in his or her academic discipline.
- Pursuit of activities that enhance the reputation of the university.
- Generation of external grants, contracts or donations.

- Innovative leadership and mentoring of students and junior faculty.
- Involvement in activities culminating in the attraction of high quality students to the area's undergraduate and/or graduate program.
- Leadership and collaborations with scholars within as well as external to the university.
- Leadership in efforts to build relationships with important external constituents.
- Leadership in efforts to enhance P-20 educational opportunities through interaction with local, state and national educational agencies.
- Evidence of activities that have elevated the quality of life for Kentuckians.

## H. Guidelines for Terms, Appointment, and Reappointment of Academic Department Chairs

1. **Academic chairs only:** These policies and guidelines are intended to apply only to chairs of academic departments. Appointment processes for chairs and directors of non-academic departments or units in the College of Education will be consistent with regulations and human resource policies of the University of Kentucky. Non-academic appointment processes may or may not include formal search committees. Participation of, and consultation with, faculty and staff associated with such non-academic units will be in a format determined by the dean or college administrator to whom that chair or director will report.
2. **Ongoing evaluation of chairs:** The College of Education will conduct performance evaluation of all chairs every other year when tenured faculty members are evaluated. Guidelines for these evaluations are included in the next section.
3. **Term length of chairs:** The College of Education department chairs are appointed for four-year terms.
4. **No absolute limit to number of terms:** University regulations indicate that chairs may be reappointed for multiple terms, but suggest that sufficient justification of the academic benefit must be presented to reappoint. Furthermore, university regulations state "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."
5. **Reappointment and new appointments:** Near the end of a current chair's term, the dean will inform the faculty and seek nominations, including self-nominations, for a search committee. University regulations require that the dean will appoint a search committee for either reappointments or new appointments. Typically, such committees will be co-chaired by another chair or college administrator. Department faculty will constitute a majority of the committee members, but other faculty or staff may be appointed from outside the department. Some chair search committees in our college include a stakeholder not employed by the university. Students and staff should be included in the process.

With the search committee, the dean will review or revise the position description, and determine a search process appropriate to the circumstances. The search committee will be asked to identify candidates, including the current chair, and invited to comment on

their strengths and weaknesses to the dean. They will not be asked to rank candidates if there is more than one.

The dean will negotiate an agreement with the reappointed chair or the new appointment and forward a recommendation to the Provost. This recommendation shall include written judgments solicited from at least the tenured faculty of the unit (GR VIII.A.3).

## **I. Review of Department Chairs and Unit Directors**

All chairs, directors, and other administrators who have a faculty appointment in the College are formally evaluated biannually, coinciding with the biennium performance review process (based on guidelines in GR IX <http://www.uky.edu/regis/files/gr/gr9.pdf> and *Administrative Regulations*). Those who have been in their position for less than one year will not receive a formal evaluation, but should submit the materials described below. Those who do not report directly to the dean may receive modified or added instructions from the associate dean to whom they report. Evaluations will be completed no later than the end of February. Materials should be submitted, as described below, no later than a date specified by the dean.

The stated purpose of the evaluation of department chairs and unit heads is to enhance administrative leadership and effectiveness and to promote a climate of cooperation among faculty, staff, and administration to maximize the effectiveness of the unit's execution of its mission. An important part of the evaluation process is for faculty and staff to participate in surveys that have been developed to obtain input for the evaluation of the department chair/unit director. If the evaluation process is to meet its objective of enhancing leadership and effectiveness of the unit head, it is important to have full participation of the department's staff. Confidence in the process increases with high response.

A concise summary report of administrative contributions should be submitted by the department chair as a document attachment via e-mail or included within their performance review materials. The evaluation period and the report should cover two calendar years. Note that the first review may be less than two calendar years depending on when the appointment was made. The report format is flexible, but should not exceed four pages; two to three pages are adequate in most cases. Narrative text, outlines, or bulleted lists are appropriate. The following points that are appropriate to the administrative position should be addressed:

1. Notable achievements or advancement in the academic department or support unit, including significant contributions by faculty or staff in the department or unit
2. Significant administrative activities in support of the administrative area
3. New initiatives or programs led or supported by chairs/directors
4. Major issues and challenges to which the department/unit has responded
5. Leadership contributions beyond own administrative area, at the college, university or external level (state, regional, national, international)
6. Scholarly activity and other professional contributions of chair/director
7. Future issues, challenges, planning and priorities for department/unit

Faculty and staff are given the opportunity every other year, coinciding with the biennium performance review process, to participate in the review of their department chair/unit

director via an online, anonymous survey. The survey is conducted online with the survey remaining open for two weeks. Respondents are able to fill out only one survey for one particular chair; however, respondents who work with multiple chairs are able to complete multiple surveys, if they choose. Survey responses and responders will remain anonymous. For unit directors and administrators who report to associate deans, personnel receive separate instructions about surveys from the appropriate associate dean. The result of faculty and staff input is reviewed by the dean (or the appropriate associate dean), and a summary is provided to the chair/director being reviewed.

## **J. Key UK Governing Regulations, Administrative Regulations, and Human Resources Policy and Procedure Related to Faculty**

Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure: AR 2: 1-11 <http://www.uky.edu/Regs/ar.htm>

Phased Retirement Policy and Program: AR 3:2 <http://www.uky.edu/Regs/files/ar/ar3-2.pdf>

Policies for Faculty Performance Review AR 3:10 <http://www.uky.edu/Regs/files/ar/ar3-10.pdf>

Faculty Assignment and Vacation Leave Policy: AR 3:6  
<http://www.uky.edu/Regs/files/ar/ar3-6.pdf>

Tenured Faculty Review and Development Policy AR: 3:11  
<http://www.uky.edu/Regs/files/ar/ar3-11.pdf>

Regulations Affecting Employment: GR X.B.2.d.i Sabbatical Leave  
<http://www.uky.edu/Regs/files/gr/gr10.pdf>

(Faculty) Employee Status: HR Policy and Procedure Number 4.0,  
<http://www.uky.edu/HR/policies/hrpp004.html>

To view all Governing Regulations, go to <http://www.uky.edu/Regs/gr.htm>.

To view all Administrative Regulations, go to <http://www.uky.edu/regs/ar.htm>.

To view all Human Resources Policy and Procedure, go to  
<http://www.uky.edu/HR/policies/welcome.html>.

To view University Senate Rules, go to  
[http://www.uky.edu/Faculty/Senate/rules\\_regulations/index.htm](http://www.uky.edu/Faculty/Senate/rules_regulations/index.htm).



APPROVALS FOR PART II

Note: Governing Regulations (GR VII.A.6) require

- (1) Approval by the Dean on substantive merits and for consistency with GRs/ARs
- (2) Approval by the Provost on substantive merits and for consistency with GRs/ARs

Approval of Part II by Dean

*Mary John O'Hair*

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Mary John O'Hair, Dean  
College of Education

May 10, 2016

\_\_\_\_\_  
Date

Approval of Part II by Provost

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Tim Tracy  
Provost

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Date

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Notes and Dates on Previous Reviews and Amendments

# **PART III. Policies of the Dean for Other Administrative Functions Relating to Faculty, Staff, Students, and/or Others**

## **A. Teacher Education Unit at the University of Kentucky**

The Educator Preparation Unit at the University of Kentucky is the collective body for educator preparation programs and includes the Colleges of Agriculture, Food, and Environment; Arts and Sciences; Communication and Information; Education; Fine Arts; and Social Work. The Dean of the College of Education is the Unit Head for the Educator Preparation Unit.

### **1. Program Faculties**

Educator preparation programs at the University of Kentucky are governed by individual program faculties. These faculties are collaborative groups comprised of a broad representation of professionals, including College of Education faculty, university faculty from content areas, and practitioners from schools and agencies. Undergraduate and graduate students may also serve as members of the program faculties. These multi-disciplinary committees are responsible for initiating and revising programs and courses, for interviewing and selecting candidates for program admission, and for conducting continuous assessment of candidate progress throughout their respective programs.

Changes in curricula, such as the design of new courses, the content of field experiences, and course revisions, originate within the appropriate program faculty. In addition, program faculties are responsible for administering the unit's admission and retention policies in their respective programs. Program faculties have primary responsibility for conducting continuous assessment of candidates and using these data to inform program revision and improvement efforts. These groups are also responsible for ensuring and documenting that candidates meet the appropriate state standards, the appropriate learned society standards, the Unit Functional Skills and Dispositions, and the Unit Technology Standards.

### **2. Program Faculty Chairs Group**

Communication across individual program faculties is ensured through regular monthly meetings of the chairpersons of the various program faculties. Membership on the Program Faculty Chairs Group includes the chair of each preparation program in the teacher education unit at the university. Meetings are chaired by the Director of Program Documentation, Accountability, and Compliance and the Associate Dean for Academic Programs, Accreditation, and Planning. Unit-wide admission, retention, and exit policies are initiated within this group. This forum also provides opportunities for collaboration across the program faculties on issues related to educator preparation and certification, accreditation, and program approval; state regulations related to educator preparation; and university and unit policies and procedures. Representation on the Program Faculty Chairs Group includes program chairs from the colleges of Agriculture, Food, and Environment; Arts and Sciences; Communication and Information; Education; Fine Arts; and Social Work.

## **B. Staff Council**

Membership on the Staff Council includes elected representation from each academic department and support unit in the college. The term of membership is three years. The College of Education Staff Council shall serve as a representative body of the staff of the College attempting to facilitate communication among staff and between staff, faculty, administrators, and students. The Council will advise and inform the Dean on issues affecting staff and will provide another means of communicating staff concerns (in addition to existing University and College procedures). The Council will serve as a mechanism for organizing events, planning projects, and proposing continuing educational opportunities for College staff.

The College of Education Staff Council will not replace existing College lines of reporting. The Council is not intended to be a forum for personal grievances or complaining, but rather a proactive organization dedicated to fostering communication and cohesiveness within the College of Education, thereby improving the atmosphere and functioning of the College.

### **C. Council of Student Leaders**

1. **Composition and How Chosen:** (a) The president of the Council of Student Leaders is elected by the presidents of the College's student organizations which include both graduate and undergraduate students; (b) The president, vice president, and one elected representative of each student organization, including LLCs, within the College of Education are recognized by the Council of Student Leaders. A list of these recognized organizations is maintained in the Office for Student Success; and (c) College of Education student senators are members of the Council of Student Leaders.
2. **Term of Membership:** One year, starting June 1 and ending May 31, with the exception of freshman members who serve from time of election until May 31. Members may serve more than one term.
3. **Responsibilities:** (a) Serve under the direction of the Associate Dean for Clinical Preparation and Partnerships and the Associate Dean for Advising and Student Success in an advisory role on budget, curricula, academic programs and policies, and advising issues; (b) Promote student, faculty, and staff interactions; (c) Recognize student and faculty scholarship and achievement; (d) Organize and/or coordinate undergraduate and graduate student activities; (e) Facilitate communications among student organizations; (f) Promote professional and career development activities; and (g) Promote activities to enhance the general welfare of students in the college.

### **D. Educational Policies for Teaching, Graduate and Research Assistant**

Teaching and research assistants are full-time graduate students and should be assigned responsibilities requiring no more than fifty percent of their time, unless approval is granted by the Graduate School. For teaching assistants this would mean service for not more than twenty hours per week. The responsibilities of graduate and research assistants will vary with the fraction of time for which they are employed; a full-time appointment should require no more than twenty hours per week of assignable duties.

1. **Supervision of Teaching, Graduate, and Research Assistants:** Teaching, graduate, and research assistants shall be carefully supervised and mentored in their duties and

responsibilities. Each department or the college, as appropriate, will assign a faculty member to directly supervise each teaching, graduate, and research assistant. Supervision of teaching assistants will include, at a minimum, the following activities: bi-monthly meetings with the supervisor, one in-class visitation per semester, and completion of the Supervisor Evaluation Checklist. Completed Supervisor Evaluation Checklists are to be maintained in the teaching assistant's personnel file and submitted to the Graduate School dean at the end of each semester for all teaching assistants. The Graduate School has developed an online form for the Evaluation Checklist.

2. **Evaluation of Teaching, Graduate, and Research Assistants:** Instructional performance of Teaching Assistants is assessed through the Teacher Course Evaluation administered at the end of each semester. Each department shall be responsible for systematic evaluations of the performances of teaching and research assistants and the results of these evaluations shall be presented to the assistants in some formal manner.
3. **Teaching, Graduate, and Research Assistants Orientation and In-service Training:** The Graduate School holds an orientation/professional learning session at the beginning of each semester for all teaching assistants. The college (or departments) holds an orientation/professional learning for all teaching and research assistants at the beginning of each academic year to inform them of their duties, rights, and responsibilities. Attendance is required for all teaching assistants.

#### **E. Guidelines for Teaching Overload and Supplemental Compensation of Faculty**

1. Unless stated otherwise, all guidelines stated below apply to nine-month faculty during the period August 16 through May 15.
2. Under no circumstances will faculty receive both supplemental compensation and Distribution of Effort credit for the same teaching activity.
3. By regulation, overloads for any purpose require approval by the dean and provost's office. Instruction-related overloads will be reviewed and approved by the department chair, the associate dean for research and analytics, and the dean.
4. Faculty will normally not be approved for teaching overload in a degree program which their department directs, or shares direction in the case of multi-department programs. Exceptions may be made, by mutual agreement of the chair and faculty member, and approval by the dean or associate dean of essential courses when no alternative instructors are available. Under some uncommon circumstances, Distance Learning courses may also be exempted (see below).
5. Faculty may be approved to teach overload outside of their department's own programs and be eligible for supplemental compensation, with completion of an internal overload form, approval of their chair and the associate dean, assuming the overload assignment is deemed not to conflict or compete with in-load assignments.
6. Faculty teaching Distance Learning courses normally teach in-load (no supplemental compensation, with DOE credit). DL courses may be approved as overload (supplemental compensation allowed, no DOE credit) only when justified on the basis of benefits to students (e.g., access, facilitates retention and graduation) or the inability of the department to deliver a required or essential course by any other means. Such overload assignments must be reviewed and approved by the department chair, the associate dean, and the dean.

7. The typical overload for a three-credit course with required enrollment will be 10% of the faculty member's nine-month salary.

Teaching during summer sessions by nine-month faculty is subject to agreement by the chair and faculty member. The guidelines above are not intended to alter practices on compensation of faculty for summer or winter intersession teaching.

#### **F. Summer School Compensation**

Summer school compensation is a year-to-year Provost administrative decision. Historically, a three-credit course will provide faculty with a stipend equivalent to 10% of their nine-month salary provided sufficient tuition is generated in the class. Typically, if the course enrollment does not provide sufficient tuition to cover the faculty stipend plus required fringe benefits, then the faculty member has the option to teach the class for a reduced stipend or cancel the class. Faculty will be informed by their chair of the expected income one week prior to the start of courses so they can make an informed decision about teaching the course. Income for the class may change as long as enrollment is allowed so the one week prior to class income will be an estimate, and actual income may increase or decrease as students continue to drop and add courses. The maximum amount of salary that can be earned during summer is governed by AR 3:6.