

# DEPARTMENT OF HISTORY

## RULES AND REGULATIONS

February 1995

As Amended Spring 1997, May 1998, April 2000

### Introduction

The following document, approved by the members of the History Department on 28 February 1995, codifies the procedures of the Department. As a unit of the University, the Department acknowledges that in case of conflict between its rules and regulations and any relevant sections of the University's Administrative Regulations, Governing Regulations, Senate Rules, or any applicable state and Federal laws or regulations now in force or modified or enacted in the future, the latter shall take precedence over the Department's internal regulations.

### Article I: Membership of the Department

1. **Composition:** The regular membership of the Department shall consist of all regularly appointed tenure-track faculty members, including faculty members holding joint appointments with at least 40 per cent of their DOE assigned to the History Department, and faculty on Special Title appointments, unless the terms of their appointment explicitly specify otherwise. Visiting, temporary and adjunct faculty members are considered members of the Department and are entitled to attend and to speak at regular department meetings but are not entitled to vote.
2. **Privileges:** All regular members of the Department are entitled to attend and vote in departmental meetings and to sit on such departmental committees as the Executive Committee may appoint them to. All Department members are entitled to be informed of decisions made at Department meetings. Members of the Department are entitled to the use of departmental facilities, subject to Department regulations and, in the case of services not funded by the University, to payment of such fees as the Department may impose.
3. **Department Meetings:** The faculty of the Department shall hold four regular meetings at approximately monthly intervals each semester. The Executive Committee shall announce the schedule of these meetings at the beginning of the semester. The Executive Committee shall meet at least 24 hours prior to each regular meeting

A number of faculty equal to one-half of the number of faculty in residence during a given semester shall constitute a quorum. The Department shall reserve a regular meeting time, not to exceed 2 hours, during which no courses shall be scheduled. Notice of meetings shall be publicly posted in a visible place as near as possible to the Department office and distributed to all faculty and elected student representatives at least 24 hours in advance.

- a) Department members are to be informed of regular Department meetings at least one week in advance. The Chair may schedule additional meetings as necessary. A regular, monthly Department meeting may be cancelled during the preceding week, if the Executive Committee meets and decides unanimously to cancel the meeting.
- b) Upon receipt of a petition signed by at least one-half (1/2) of the voting members of the Department in residence, the Chair shall be required to schedule an emergency meeting of the Department. Emergency meetings shall be scheduled on the next available regular meeting day, or at some other time convenient to all members of the Department, **provided that**, there shall be at least two full working days between the presentation of the petition and the meeting.
- c) Each year, the Planning and Priorities Committee will canvass the faculty for suggestions for the Department's hiring priorities for the following academic year. The Planning and Priorities Committee then will present to the Department a list of these suggestions for faculty hiring at an annual meeting with the faculty of the Department reserved for this event, this meeting will be scheduled in consultation with the Department Chair and the Executive Committee and announced at least four weeks in advance. At this meeting, the faculty of the Department, by a majority vote of those present, will prepare an unranked list of no more than four positions to submit to the Department, which will identify and rank the Department's highest priorities. The final determination of hiring priorities will be by written ballot. Each member of the faculty and the graduate student representative will identify in writing which one of the four possible positions they deem most necessary for the Department at the time. Voters will submit their ballots no later than one week (five business days) after the Departmental meeting that determined the slate; faculty away from the University may submit ballots by fax. If members of the Department request a secret ballot, ballots will be submitted according to the procedure used in University and College elections; those away from the University may continue to submit the ballots by fax. The Department Chair and Executive Committee will count the ballots, and the Chair will request that the Dean of Arts and Sciences authorize a search for the position that received a majority of votes. If no one position receives an absolute majority the Department Chair and the Executive Committee will submit to the Department, for a runoff election using the same procedures, the two positions that received the most votes. If the Department deems it necessary to identify a second or a third highest priority, it shall be done by separate votes for each in the same fashion.

4. **Voting:** All regular faculty members in attendance at a Department meeting shall be entitled to one vote on all motions and resolutions. The regularly enrolled graduate students of the Department shall be entitled to choose two (2) representatives to attend all Department

meetings. Each graduate student representative shall be entitled to one vote, **except that** in final decisions on the choice of candidates for faculty positions, only one graduate representative shall be entitled to vote. Unless otherwise specified in the rules, voting on all motions and resolutions is by show of hands, **provided that** if a majority of members present and voting so move, a secret written ballot may be taken. Unless otherwise specified in the rules, a majority of those present and eligible to vote shall suffice to pass a motion or resolution.

- a) The Department may authorize the casting of proxy votes only in cases of recruitment and hiring by regular faculty members in residence. Each faculty member requesting permission to cast a proxy vote shall deliver to the chair, in advance of the department meeting concerned, a letter stating the reason why the member is unable to attend in person, together with a separate letter, which shall not be made public until after a decision is made on the acceptance of the request for a proxy vote, stating the proposition on which the faculty member wishes to cast a proxy vote and his or her vote on that proposition. Authorized proxy votes may be disallowed if the proposition finally voted on is significantly different from that which the absent department member intended to vote on.

5. **Functions of the Department Meeting:** The members of the History Department, together with the voting student representatives, shall have the power to elect Executive Committee Members, approve all recommendations for the hiring of new faculty, all departmental policies on such matters as academic requirements, courses of study, class schedules, graduate and undergraduate programs, research activities, budgetary recommendations, and service functions. In accordance with the Governing Regulations, they may delegate to the Chair and to various committees the operation and administration of the departmental program. Decisions in areas not specifically delegated shall be made by vote of the faculty, insofar as such actions do not conflict with the Governing Regulations, the Rules of the University Senate, or the academic requirements of other departments or units of the University.

6. **Procedures of the Department Meeting:** The Department Meeting shall follow standard parliamentary procedure. The Chair shall appoint a Parliamentarian to advise the Department on parliamentary procedure. The Chair shall appoint a Secretary to keep minutes of each meeting. Copies of the minutes shall be circulated to all members of the Department, and, once approved, a printed copy of the minutes shall be kept in a permanent file in the Department office and made available, on request, to any member of the Department.

7. **Compliance with Kentucky Open Meeting Act:** Department meetings are normally open to the public, in accordance with the Kentucky Open Meetings Act. When the meeting turns to specific personnel matters dealing with an individual case(s) (promotion, tenure, dismissal, appointment renewal, etc.), the Department (or the tenured faculty, in cases of promotion) shall go into “executive” or “closed” session. The procedures for going into closed session are specified in Appendix I to the Department’s Rules and Regulations.

## **Article II: The Department Chair**

1. **Selection:** In accordance with the University's Governing Regulations, the Chair is selected by the Dean of the College. The Dean appoints a search committee to solicit nominations and input on candidates from the members of the Department before making a selection.
  
2. **Term of Appointment:** In accordance with the University's Governing Regulations, the Department Chair is appointed for a term of four years. Ordinarily, a Department member will be asked to serve as chair for only one term. A chairperson may be reappointed, however, when the search committee finds that the particular circumstances and needs of the Department make such a reappointment desirable. Reappointment beyond the second term may occur under exceptional circumstances when it is deemed to be in the best interests of the University.
  
3. **Functions:**
  - a) The Departmental Chair or an appropriate substitute presides over all faculty meetings. He or she has administrative responsibility for implementing the Department's program within the limits established by the regulations of the University, policies of the University Senate, and the rules of the College.
  
  - b) The Chair is responsible for initiating procedures for the appointment of new members of the Department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure. The Chair must initiate such action if directed by a majority vote of the tenured faculty.
  
  - c) The Chair, together with the Department Executive Committee is responsible for overseeing the periodic evaluation of Department members (faculty and staff) by procedures and criteria established by the University and the College.
  
  - d) The Chair, together with the Executive Committee, is responsible for the overall operation of the Department and such other matters as have been delegated by the faculty, and shall create such committees as the faculty deem necessary to carry out these duties. When considering an administrative decision that can reasonably be expected to affect the working conditions of one or more members of the faculty, the Chair shall seek the advice of the appropriate departmental committees and/or the affected faculty member(s).

## **Article III: Executive Committee**

1. **Constitution of the Committee:** There shall be an Executive Committee of four (4) members, composed of the Department Chair, who shall chair the committee, and three members elected by popular vote of the regular faculty and the two graduate student representatives.

2. **Mode of Election:** The elected members shall be chosen prior to the end of the spring semester. The Department shall conduct the elections so that each member shall be elected in a separate election by a majority of votes cast in secret ballot. When a candidate fails to receive a majority in the first election, a run-off election shall be held between the two candidates receiving the largest number of votes. Vacancies shall be filled in like manner.

3. **Length of Term:** Terms of elected members shall be for two (2) years. An interval of at least one year must elapse before a member of the Committee may serve again as an elected member of the Committee. Members filling vacancies shall be eligible for election in their own right at the end of the unexpired term which they are filling. Members of the Committee who are not in residence for a semester or more must resign from the Committee.

4. **Functions:**

- a) The Committee shall review the Faculty Merit Evaluation Forms and supporting materials, such as teaching portfolios, of each regular member of the Department prepared for the purpose of merit evaluation. The Committee shall have the authority to appoint a Promotion Committee to review the dossiers of faculty candidates for promotion and present their cases to the appropriate members of the Department.
- b) The Committee shall make merit recommendations on all regular faculty.
- c) The Committee shall select members for such standing committees as the Department may establish, **provided that** no faculty member shall be assigned a position on more than one standing committee. It shall select the chairs for each committee, where not otherwise designated in the rules below. Appointments to committees shall be made without regard to rank.
- d) The Committee may create **ad hoc** committees and appoint their members and chairs.
- e) The Executive Committee may make assignments for performance of departmental duties. In making departmental assignments, the Executive Committee will take into account college and university duties of members of the Department.
- f) The Executive Committee shall meet regularly prior to any scheduled Department meeting. Executive Committee members may receive agenda suggestions from Department members, and the agenda for each of the regular meetings will be determined by the Executive Committee. Additional items may be added to the agenda by the Chair.
- g) The Committee shall handle other matters presented to it by the Chair.

#### **Article IV: Standing Committees**

1. The standing committees of the Department are the Graduate Committee, the Undergraduate Committee, the Planning and Priorities Committee, and the Program Committee. The Department Chair shall be an **ex officio** member of each

2. **The Graduate Committee** shall be composed of at least four faculty members, and a representative of the graduate students. The Director of Graduate Studies shall serve as Chair. The Graduate Committee shall assume general responsibility for administering the graduate program within the Department and for proposing departmental policies on matters related to graduate study. The graduate student representative shall not participate in discussions of specific applicants for admission or awards of financial assistance.

The Director of Graduate Studies may designate a member of the Committee to assist in the advising of graduate students until such time as the director of their committee is appointed.

3. **The Undergraduate Studies Committee** shall be composed of at least four faculty members, including the graduate student representative. The Director of Undergraduate Studies shall serve as Chair. Its duties will include the review of all proposals for new courses or changes in the essential nature of existing courses through the 500 level. It may consider or propose changes in the Department's undergraduate curriculum or policies affecting undergraduate instruction and advising. It shall have the right to review all changes or policies initiated outside of it which will affect directly either undergraduate instruction or advising.

4. **The Planning and Priorities Committee** shall be composed of at least four faculty members. Its duties shall include the drafting of recommendations concerning department policies on matters not falling under the jurisdiction of the Graduate and Undergraduate Committees, and consideration of such other matters as the Chair and the Executive Committee may refer to it.

5. **The Program Committee** shall be composed of at least three (3) members, including a graduate student representative. It shall plan the scheduling of visiting lecturers, and of departmental seminars and discussions.

#### **Article V: Officers of the Department**

1. The officers of the Department are the Director of Graduate Studies, the Director of Undergraduate Studies, the Coordinator of Undergraduate Advising, the Coordinator of Scheduling, the Library Liaison, and the Editor of the Departmental Newsletter.

2. The Departmental Chair shall nominate the Directors of Graduate Studies and of Undergraduate Studies, **provided that**, no faculty member shall hold both positions

simultaneously. The Chair shall also appoint a coordinator of Undergraduate Advising, a Coordinator of Scheduling, a Library Liaison, and a Coordinator of the Departmental Newsletter.

The positions of Coordinator of Undergraduate Advising, Coordinator of Scheduling, Library Liaison, and Coordinator of the Departmental Newsletter may be combined with any other departmental position, including that of Department Chair.

3. The Director of Graduate Studies shall chair all meetings of the Graduate Committee.  
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Director shall oversee the review of applications for admission to the graduate program, the scheduling of graduate student exams, the awarding of departmental fellowships and assistantships, the preparation of recruitment materials for the program, the approval of graduate course offerings, and all other matters concerning the graduate program. Ordinarily, no faculty member shall serve as Director of Graduate Studies for more than four consecutive years.

4. The Director of Undergraduate Studies shall chair all meetings of the Undergraduate Committee. The Director shall oversee the approval of undergraduate course offerings and all other matters concerning the undergraduate program. Ordinarily, no faculty member shall serve as Director of Undergraduate Studies for more than four consecutive years.

5. The Coordinator of Undergraduate Advising shall be responsible for implementing university, college, and departmental advising procedures. The Coordinator shall assign new advisees to appropriate advisors and shall assist other faculty in advising matters.

6. The Coordinator of Scheduling shall assist the Chair in the preparation of the departmental course schedule.

7. The Library Liaison shall represent the Department's interests to the University Library and shall keep the Department informed of matters affecting the library's collections in history.

8. The Editor of the Departmental Newsletter shall prepare the departmental newsletter.

## **Article VI: Faculty Recruitment**

1. When new faculty appointments are to be made, the Executive Committee shall appoint a committee or committees for search and recruitment of faculty members, each comprised of no fewer than three (3) and no more than five (5) members of the regular faculty. The appointments should rest as far as possible on the appointees' expertise in the field for which the search is being made. The Department Chair shall be an **ex officio** member of all recruitment committees.

2. The Department shall vote on definitions of regular full-time positions before positions are advertised. Where circumstances make such procedures impractical, proposals for appointment

may be considered, even though candidates have not been nominated through the normal search process. Such circumstances may include cases in which the initiative comes from other departments, as in spousal or joint appointments, or from the College or University, as in the case of faculty proposed for endowed chairs.

3. When each Committee has completed its search work, it shall make its recommendations to the Department in faculty meeting, and the regular faculty and one graduate student representative shall, by majority vote, determine whether any applicant and, if so, which applicant, shall be offered the position. The regular faculty and the graduate student representative may also determine what is to be done, should the first choice decline a departmental offer. In any case, final departmental decisions on recommendations for the hiring of **all** new faculty hired shall rest upon a vote of the regular faculty and one of the two graduate student representatives.

4. In circumstances where the Department has hired a temporary faculty member in a particular field and then receives authorization to fill a tenure-track position in the same field, the position will be re-advertised and a new search conducted. A qualified person teaching in a temporary position at UK who applies for the position shall be evaluated on the same basis as other candidates.

## **Article VII: Promotion and Tenure**

1. The Department shall ensure that all incoming faculty members have been provided with copies of the College's and the University's guidelines on tenure and promotion. Upon request, the Department shall provide any faculty member with access to the University's guidelines.

2. **Non-Tenured Faculty Being Considered for Reappointment, Promotion and Tenure, or Terminal Appointment.** The Department shall make available to all faculty at or above the rank of tenured associate professor the candidate's dossier, assembled in accordance with University regulations. The tenured faculty shall meet to discuss the candidate's qualifications. No formal vote shall be taken, but there shall be discussion, after which each member of the tenured faculty concerned must write a letter to the Chair, expressing a judgment of the merits in the applicant's case. These will be placed in the file which is sent to the Dean. The Chair shall report to each non-tenured member the general sentiment of the faculty on his/her promotion, tenure, reappointment, and terminal appointment. Upon request, an untenured professor may have a personal hearing before the tenured professors.

3. **Tenured Faculty Being Considered for Promotion to Full Professor.** The Department shall make available to all faculty at the rank of full professor the candidate's dossier, assembled in accordance with University regulations. The full professors shall meet to discuss the candidate's qualifications. No formal vote shall be taken, but there shall be discussion, after which each member of the faculty concerned must write a letter to the Chair, expressing a judgment of the merits in the applicant's case. These will be placed in the file which is sent to the



Dean. The Chair shall report to each associate professor the general sentiment of the faculty on his/her promotion and tenure if said professor does not have tenure. Upon request, an associate professor may have a personal hearing before the full professors.

### **Article VIII: Approval and Amendment of the Rules and Regulations**

1. A majority vote of all department members in residence shall be required for the approval of the Rules and Regulations. Upon approval, a copy of these Rules and Regulations shall be transmitted to each member of the Department and to the graduate student representatives.
2. All proposed amendments to the Department's Rules and Regulations shall be circulated in writing to all members of the Department at least two weeks in advance of being considered at a Department meeting. Amendments to the Rules and Regulations shall require a majority vote of all department members in residence for approval. Upon approval, a copy of each amendment to the Rules and Regulations shall be transmitted to each member of the Department and to the graduate student representatives.
3. The Department shall keep a dated copy of its Rules and Regulations, together with records of any amendments and the date on which they were approved, on file in the Department office, where it shall be available for consultation in accordance with the Kentucky Open Records law.

### **Appendix I**

#### **Guidelines for Complying with the Kentucky Open Meeting Act**

When a Department meeting turns to specific personnel matters dealing with an individual case(s) (promotion, tenure, dismissal, appointment renewal, etc.), the Department may go into "executive" or "closed" session. These steps **must** be followed before the meeting is closed. This procedure should be followed even if no members of the public are in attendance at the meeting:

- a) The Chair shall announce in the meeting [this wording is required by statute]:  

"I will entertain a motion to go into executive session for the purpose of discussing **personnel matters pursuant to KRS 61.810(1) (g).**"
- b) The Chair shall secure a motion and its second; take a hand vote; confirm that a simple majority has voted in favor of the motion; record compliance with these measures in the minutes.

- c) The Chair shall announce that the meeting will go into executive session and ask the public to leave.
- d) If a faculty member to be discussed is present at the meeting, the Chair may ask him/her to leave for that portion of the executive session during which his/her case is considered.
- e) The Department may **not** take any action (i.e., a formal vote) on any matter while in executive session; rather, the executive session shall be used **solely for the purpose of having vigorous and candid discussion about the strengths and weaknesses of a candidate.**
- f) Minutes or summaries of executive sessions are not required; indeed, as regards to conduct of executive sessions, the minutes should not show information which would defeat the purpose of holding a closed session.

The Rules and Regulations above were approved at a faculty meeting on 28 February 1995, by a vote of 18 to 1. (See Department Minutes).