

~~Governing~~ **Administrative Regulation — Significant Policies (Formerly GR I)**

# ~~The University of Kentucky (Definition)~~

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## ~~A. Statutory Definition~~

- ~~1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of “Agricultural and Mechanical College of Kentucky.” Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.~~
- ~~2. Legislation in KRS 164.120 states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required~~

~~by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.~~

~~a. The dates of establishment of the colleges listed in KRS 164.120 are:~~

- ~~Arts and Sciences, 1908;~~
- ~~Agriculture, 1908, now **Agriculture, Food, and Environment**, July 1, 2013 (History: *College of Agriculture*, established 1908; renamed *College of Agriculture, Food, and Environment*, July 1, 2013);~~
- ~~Law, 1908, now J. David Rosenberg College of Law, December 10, 2019;~~
- ~~Education, May 22, 1923;~~
- ~~Graduate School, 1912;~~
- ~~Engineering, 1918 (History: established through merger of the *College of Civil Engineering*, the *College of Mechanical Engineering*, and the *College of Mines and Metals*, 1918); and~~
- ~~Commerce, 1925, now **Carol Martin Gatton College of Business and Economics**, December 12, 1995 (History: *College of Commerce*, established 1925; renamed *College of Business and Economics*, July 1, 1966; renamed *Carol Martin Gatton College of Business and Economics*, December 12, 1995);~~

b. In accordance with KRS 164.120, the following colleges have been subsequently established by the Board of Trustees:

- ~~Pharmacy, July 1, 1947 (History: established Aug. 16, 1870, as the Louisville College of Pharmacy; an independent institution of higher education; became part of the University of Kentucky in 1947; and part of the newly developed UK Chandler Medical Center in 1966);~~
- ~~Medicine, June 1, 1954;~~
- ~~Dentistry, May 28, 1956;~~
- ~~Nursing, May 28, 1956;~~
- ~~Architecture, July 1, 1964, now **Design**, October 29, 2002 (History: *School of Architecture* separated from the *College of Engineering*, July 1, 1964; raised to *College of Architecture*, May 5, 1970; renamed *College of Design*, October 29, 2002, consisting of the *School of Interior Design*, a new *School of Architecture* to replace the *College of Architecture*, and *Historic Preservation*);~~
- ~~Allied Health Personnel, January 1, 1966, now **Health Sciences**, April 30, 2002 (History: established as *School of Allied Health Personnel*, January 1, 1966; renamed *School of Allied Health Professions*, January 20, 1967; raised to a college, May 5, 1970; renamed *College of Health Sciences*, April 30, 2002);~~
- ~~Public Health July 1, 2004;~~
- ~~Home Economics, 1916, now **School of Human Environmental Sciences**, July 1, 2003 (History: separated from the *College of Agriculture* as *College of Home Economics*, 1916; merged back into *College of Agriculture*, 1917; separated from *College of Agriculture* as the *School of Home Economics*, July 1, 1967; raised to *College of Home Economics*, May 5, 1970; renamed *College of Human Environmental Sciences*, January 22, 1991; merged into the *College of Agriculture* as the *School of Human Environmental Sciences*, July 1, 2003);~~
- ~~Library Science, April 2, 1968, now **School of Library and Information Science**, June 22, 1993 (History: separated from College of Arts and Sciences as the *School of Library Science*, April 2, 1968; raised to *College of Library Science*, May 5, 1970; renamed *College of Library and Information Science*, April 6, 1982; merged with *College of Communications* as the *College of Communications and Information Studies*, and *Library and Information Science* became the *School of Library and Information Science* within the new college, June 22, 1993);~~
- ~~Communications, May 4, 1976, now **Communication and Information**, July 1, 2012 (History: School of Journalism and Department of Human Communications separated from College of Arts and Science to form the *College of Communications*, May 4, 1976; merged with *College of Library and Information Science* as *College of Communications and Information Studies*, and *Library and Information Science* became the *School of Library and Information Science* within the new college, June 22, 1993; renamed *College of Communication and Information*, July 1, 2012); and~~

- ~~—**Social Professions**, June 24, 1968, now **Social Work**, May 6, 1980 (History: separated from Arts and Sciences as the *School of Social Professions*, June 24, 1968; raised to *College of Social Professions*, May 5, 1970; renamed *College of Social Work*, May 6, 1980);~~
- ~~—**Fine Arts**, May 4, 1976 (History: School of Music, Department of Art, and Department of Theatre Arts separated from the College of Arts and Sciences to form the College of Fine Arts, May 4, 1976); and~~
- ~~—**Lewis Honors College**, June 24, 2016.~~

~~3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University's research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) in carrying out its statewide mission, the University of Kentucky shall conduct statewide research and provide statewide services including, but not limited to, agricultural research and extension services, industrial and scientific research, industrial technology extension services to Kentucky employers, and research related to the doctoral, professional, and post-doctoral programs offered within the University; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.~~

## ~~B. University Programs and Requirements~~

~~1. The University of Kentucky shall provide:~~

- ~~a. Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;~~
- ~~b. Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state; and~~
- ~~c. Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)~~

~~2. The Board of Trustees is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.~~

## ~~C. Vision, Mission, and Values~~

### A. Vision, Mission and Values

#### 1. Strategic Vision Statement

As Kentucky's indispensable institution, we transform the lives of our students and advance the Commonwealth we serve ~~—~~ and beyond ~~—~~ through our teaching and learning, diversity and inclusion, discovery, research and creativity, promotion of health; and deep community engagement.

## 2. Mission Statement

The University of Kentucky is a public, land grant university dedicated to improving people's lives through excellence in education, research and creative work, service and health care. As Kentucky's flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being.

The University of Kentucky:

- Facilitates learning, informed by scholarship and research;
- Expands knowledge through research, scholarship and creative activity; and
- Serves a global community by disseminating, sharing and applying knowledge.

The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.

## ~~3. University Values~~

~~The University of Kentucky is guided by its core values:~~

- ~~• Integrity;~~
- ~~• Excellence;~~
- ~~• Mutual respect and human dignity;~~
- ~~• Diversity and inclusion;~~
- ~~• Academic freedom;~~
- ~~• Personal and institutional responsibility and accountability;~~
- ~~• Shared governance;~~
- ~~• A sense of community;~~
- ~~• Work-life sensitivity;~~
- ~~• Civic engagement; and~~
- ~~• Social responsibility.~~

## ~~D. Diversity~~

~~The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities; support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.~~

## ~~E.-Shared Governance~~

~~The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority. Through these empowering processes of shared governance,~~

~~the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.~~

**F.B. Order of Communication and Reports**

All University ~~faculty members and staff~~ employees ~~shall~~ have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.

~~All faculty members and staff~~

All employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.



When a supervisory decision or reporting relationship involves a conflict of interest, the next higher-level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.

This regulation shall in no way limit the President in communicating with ~~faculty members or staff~~ employees, nor shall it prevent communication between ~~faculty members, staff employees, or administrative officers~~, and the Board of Trustees for purposes other than the submission of official recommendations and communications.

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## **G.C. Use of University Property and Resources**

~~Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.~~

~~By virtue of the above,~~

University property and resources, including but not limited to real property, equipment, human resources; and other tangible and intangible assets, shall be used only for educational, cultural or charitable purposes; or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility ~~in accordance with these Governing Regulations, Administrative Regulations, and University Senate Rules.~~

### **1. Political Activity**

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University resources shall not be used for conventions, rallies; or any campaign activities that would further the interests of a political party<sup>+</sup> or of a candidate or candidates for public ~~office~~[office1](#). The resources of the University may be used for public forums to which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

University resources may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members; and staff employees of the University.

### **2. Religious Activity**

[The University of Kentucky follows the First Amendment's Establishment Clause and Free Exercise Clause, the equivalent provisions in the Kentucky Constitution and the Kentucky Religious Freedom Restoration Act. Questions about specific application of these religious liberty provisions should be addressed to the Office of Legal Counsel.](#)

#### **4. Campus Sales**

1 "Political party" ~~is defined as~~[means](#) a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in ~~KRS 118.015~~[\(KRS 118.015\(1\)\)](#).

~~In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University resources shall not be used to advance or inhibit religion.~~

### ~~3. Tobacco Policy~~

~~Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. The President is delegated authority to promulgate an Administrative Regulation regarding the use of tobacco products. Pursuant to AR 6:5, the University is a tobacco-free campus.~~

### ~~4. Campus Sales~~

Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications; or services upon University property other than by the regularly authorized stores, dining locations, departments; or divisions of the University are prohibited except upon written permission of the Executive Vice President for Finance and Administration.

Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.

## ~~References and Related Materials~~

~~KRS 45A, Kentucky Model Procurement Code~~

~~KRS 61.165, Smoking policy for governmental office buildings or workplaces and postsecondary education institutions~~

~~KRS 118.015(1), Definitions~~

~~KRS 164.100, University of~~

~~Kentucky recognized KRS~~

~~164.120, Colleges maintained~~

~~KRS 164.125, University Programs~~

~~KRS 164.131, Board of Trustees of University of Kentucky -~~

~~Membership - Terms KRS 164.160, Trustees - power to receive~~

~~and administer revenue and property KRS 164.200;  
Regulations for university - Physical training and discipline of  
students~~

## ~~Revision History~~

~~6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/2008, 3/27/2012, 6/11/13, 6/17/2022~~

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



UNIVERSITY OF  
**KENTUCKY**<sup>®</sup>  
Regulations

**Governing Regulation, Part VII**

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~~Governing~~**Administrative Regulation, Part VII** — University Organization (***Formerly GR VII***)

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### Introduction

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## Introduction

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

### A. Policy

The administrative organization of the University is determined by the educational organization of the University and the ~~instruction~~**education**, research, service, and ~~other functions~~**care** of the University. The educational and administrative organization of the University shall be such as to minimize duplication of effort and to enable the University to operate as a single, closely integrated institution. ~~Major changes in administrative organization shall be made only on the approval of the Board of Trustees.~~

~~For matters having to do with the organization of the University as it affects academic policies, the Board relies upon the advice of the University Senate along with that of the President. It relies upon the advice of the President concerning administrative organization and powers and responsibilities of the officers of the University.~~

~~For the purpose of administering~~**To administer** the various programs of the University, there shall be established educational and administrative units within the University. ~~All units of the University shall be established, altered, or abolished only on vote of the Board of Trustees.~~

## B. Definitions

4. “Educational unit” means any existing or proposed unit that has as its primary mission the performance of educational activities in instruction, research, and service and that has or will have at least one full-time (tenured or tenure-eligible) faculty appointment or its time equivalent is assigned to perform instruction, research, and service in that unit. This assignment provision excludes solely administrative assignments such as the chief administrative officer of the unit. ~~An educational unit is subject to the University Senate review and the periodic review processes.~~

“Administrative unit” means any unit not meeting the definition of an educational  
2. unit.

## C. Educational Units and Their Chief Administrative Officers

1. Departments, schools, colleges, graduate centers, multidisciplinary research centers and institutes, and interdisciplinary instructional programs are the basic educational units of the University that deliver ~~instruction~~education, research, ~~and~~service ~~and care~~ including extension activities.
2. Major educational units of the University are the colleges, the Graduate School, ~~the Honors College~~, and the Libraries. For purposes of ~~these Governing Regulations~~this Administrative Regulation, the Libraries is equivalent to a college.

3. Schools are administratively responsible to a college, and departments are directly responsible to a college or sometimes directly to a school within their college.
4. Some instructional programs draw faculty exclusively from one department, school, or college whereas interdisciplinary instructional programs, such as in the Honors College, draw faculty from different departments, schools, or colleges.
- 4.5. A graduate center is an interdisciplinary educational unit that delivers graduate education degree programs, is equivalent to a department, and is located administratively in the Graduate School unless the administrative responsibility specifically has been delegated otherwise.
- 5.6. A multidisciplinary research center or institute is an educational unit established to provide multidisciplinary programs, which are primarily research in nature. Such an educational unit is administratively responsible to the Vice President for Research unless the administrative responsibility specifically has been delegated otherwise.
- 6.7. The chief administrative officer of a major educational unit is a dean. The chief administrative officer of a graduate center, school or multidisciplinary research center or institute is a director. The chief administrative officer of a department or an interdisciplinary instructional program is a chair.

#### **D. Academic Ranks**

1. Academic ranks in the University consist of lecturer and senior lecturer in the lecturer series, and instructor, assistant professor, associate professor, professor, or the equivalent to these recognized in the librarian title series of librarian IV, librarian III, librarian II and librarian I, respectively.
2. The President establishes academic title series, the ranks within each series, and a description of the qualifications for each after consultation with appropriate ~~administrative and faculty groups, including the University Senate Council~~ [shared governance bodies](#). Emeritus ranks for retired faculty members and the rights of holders of emeritus titles are established by the President after consultation with ~~the University Senate Council~~ [appropriate shared governance bodies](#).

3. The establishment of new academic title series or ranks and major changes in criteria for ranks shall have the approval of the Board of Trustees.

## **E. The Faculties**

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### **1. The Graduate Faculty**

- a. Membership



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

Graduate Faculty members shall possess the following qualifications:

- A doctoral degree or its equivalent in scholarly reputation;
- The rank of assistant professor (or equivalent) or higher;
  
- Scholarly maturity and professional productivity as demonstrated by publications, editorial services, research surveys, creative work, patents; and research in progress at the time of appointment; and
- Definite interest in graduate work and the willingness to participate in the graduate program.

The ~~Deandean~~ of the Graduate School confers membership in the Graduate Faculty. The appointments are made following review by the Graduate Council of the qualifications of the persons proposed for membership by the college deans, department chairpersons; and directors of graduate study, upon the recommendation of the Graduate Faculty of the respective graduate program.

Associate and other classes of members in the Graduate Faculty may be appointed by the ~~Deandean~~ of the Graduate School, with appropriate duties and privileges, as provided by the *Rules of the Graduate Faculty* ~~and approved by the University Senate.~~

b. Officers, Committees and Councils

The Graduate Faculty may perform its functions directly, through the Graduate Council; or through standing or special committees which it may appoint or authorize for appointment, or through delegation to college, school, departmental or center graduate program faculties. Councils of the Graduate School may be appointed by the ~~Deandean~~ of the Graduate School or elected, as prescribed by the *Rules of the Graduate Faculty* ~~and approved by the University Senate.~~ Copies of minutes of Graduate Faculty meetings and of meetings of Graduate Faculty committees and councils shall be made available to all members of the Graduate Faculty.

c. Graduate Faculty Functions

Within the limits established by the *Governing Regulations* ~~and the University Senate Rules,~~ the Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees and within those limits shall establish *Rules of the Graduate Faculty* necessary for the performance of its ~~educational policymaking~~ credit-bearing curriculum functions. Copies of these rules shall be made available to Graduate Faculty members and filed with the Graduate Faculty ~~Dean, the Provost,~~ dean and the ~~University Senate Council.~~ Provost. It is the responsibility of the Graduate Faculty to safeguard, promote; and assist in the ~~development of research in all fields.~~ ~~The Graduate Faculty shall make recommendations to the University Senate on academic matters that require University Senate approval.~~ ~~The Graduate~~

development of research in all fields. The Graduate Faculty may make recommendations ~~on other matters to the University Senate,~~ to college or department faculties, to the President or other administrative officers.

The Graduate Council shall have the authority and responsibilities delegated to it by the ~~Deandean~~ of the Graduate School; and the Graduate Faculty, ~~and the University Senate.~~

## 2. The Honors Faculty

### a. Membership

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

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

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

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

- A doctoral degree or its equivalent in scholarly reputation;
- The rank of lecturer or senior lecturer in the Lecturer Series, or the rank of assistant professor (or equivalent) or higher in any other series.
  
- Demonstrated excellence in teaching and mentoring of undergraduate students; and
- Demonstrated interest in honors students and the willingness to participate in the Honors College.

The ~~Deandean~~ of the Honors College confers membership in the Honors Faculty. The appointments of regular members are made upon recommendation of Regular Honors Faculty after review of the qualifications of the persons proposed for membership by the dean of the college of primary appointment. The ~~Deandean~~ of the Honors College may appoint, with appropriate duties and

privileges, associate members in the Honors College Faculty in accordance with the *Rules of the Honors College* ~~approved by the University Senate.~~

b. Officers, Committees and Councils

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

c. Honors Faculty Functions

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

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

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

The Honors Faculty/Council shall have the authority and responsibilities delegated to it by the [Deandean](#) of the Honors College ~~and the University Senate~~.

### **3. Faculties of Colleges**

#### **a. Membership**

The membership of the faculty of a college shall consist of its dean, associate and/or assistant deans; and regular full-time faculty having the rank of assistant professor, associate professor or professor in the regular, special title; or extension series or librarian III, II or I in the librarian title series. Membership, with or without voting privileges, also may be extended or withdrawn by the above college faculty to any other person assigned to the

college for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one college; in this instance, one assignment shall be designated primary by the Provost ~~(Part X.B.1).~~

b. Officers, Committees and Councils

The faculty shall hold regularly scheduled meetings at which the dean shall preside except as the dean may delegate that function. In addition, it shall meet in special session on the call of the President, the Provost, the dean of the college; or at the request of a prescribed number of its voting membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings and of meetings of college faculty committees and councils shall be made available to all members of the faculty of the college.

The faculty of each college shall establish its own rules, including a committee or council structure, necessary for the performance of the faculty's functions ~~in educational policy-making on the credit-bearing curricula.~~ After approval of these rules by the Provost for consistency with ~~thesethe~~ Governing Regulations, the Administrative Regulations, University Senate Rules and Rules of the Graduate Faculty, copies of the rules and a description of the committee or council structure shall be made available to members and filed with the dean of the college, ~~the Provost~~ and the ~~University Senate Council~~ Provost.

c. College Faculty Functions

Within the limits established by ~~thesethe~~ 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, credit-bearing curricula, course offerings, undergraduate, graduate and research programs, professional programs; and service functions, ~~to the extent that the responsibility has not been delegated to a school or department faculty.~~

In consultation with the college faculty, the ~~Dean~~ dean shall establish procedures used at the level of the college concerning: (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure; and decisions not to

reappoint; (2) the faculty performance evaluations; and (3) faculty input in the evaluation of the performance of school directors and department chairs during the interval between periodic reviews. It ~~shall make recommendations to the University Senate or Graduate Faculty on such matters as require the final approval of those bodies, and it~~ may make recommendations ~~on other matters to the University Senate~~<sup>to</sup>, the Graduate Faculty, school/department faculties within the college, the President, or to other administrative officials. ~~The academic or scholastic requirements of a college may exceed, but not be lower than, those established by the University Senate or the Graduate Faculty. The University Senate shall vote whether to approve any such differences in standards.~~

The faculty of a college may delegate ~~by rule a defined part of the determination of its educational policies~~<sup>some responsibilities</sup> to an assembly of the college, which consists of the faculty, <sup>staff</sup> and designated student representatives. ~~The number of students voting and the method of selecting these students is determined by the rules of the college.~~

In addition to the functions and responsibilities described above, the faculty of a college without departments shall have any other functions and responsibilities which are delegated to a departmental faculty ~~as set forth in Part VII.A.6.~~

#### 4. Faculties of Schools

##### a. Membership

The membership of a faculty of a school shall consist of the dean of its college of which it is an administrative unit, the director who is the chief administrative officer of the school; and the members of the faculty of the college who have been assigned regular, full-time duties in the school. ~~(The faculty of a college is defined in Part VII.A.4 of these regulations.)~~ Membership, with or without voting privileges, also may be extended or withdrawn by the above faculty of the school to any other person assigned to the school for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one school; in this instance, one assignment shall be designated primary by the Provost. ~~(Part X.B.1)~~

##### b. Officers, Committees and Councils

The faculty of a school shall hold regularly scheduled meetings at which the school director shall preside, except as the director may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the director of the school; or by a prescribed number of its voting faculty. The school director shall preside over school faculty meetings, except as the director may delegate this function. Copies of the minutes of school faculty meetings and meetings of committees and councils of the school faculty shall be made available to all members of the faculty of the school.

The faculty shall establish its own rules and determine its own committee structure that are necessary for its functions ~~in educational policy making on the credit-bearing curricula~~ and shall prescribe the quorum necessary for the transaction of business. After approval of these rules by the dean of the college and by the Provost for consistency with ~~University regulations and with these~~ the *Governing Regulations*, *the Administrative Regulations*, ~~University Senate Rules; Rules of the Graduate Faculty;~~ and college faculty rules, copies of the school faculty's rules and a description of its committee structure shall be made available to its members, and a copy shall be filed with the director of the school, the dean of the college of which it is a unit, with the Provost, ~~and with the University Senate Council.~~

##### c. School Faculty Functions

Within the limits established by ~~these~~ the *Governing Regulations*, ~~the University Senate Rules; Rules of the Graduate Faculty;~~ and the rules of the faculty of the college of which it is a unit,

the faculty of a school shall determine the ~~educational policies of the school, including primary responsibility for the development of policies on such matters as~~ academic requirements, credit-bearing curricula, course offerings,



undergraduate, graduate and research programs, professional programs; and service functions, to the extent that this responsibility has not been delegated to a department faculty. It shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall make recommendations to the faculty of the college on matters that require the approval of that body. It may make recommendations on other matters to ~~the University Senate~~, the Graduate Faculty, the college faculty; and the faculties within the school; and the dean or other administrative officers. The academic or scholastic requirements of a school may exceed, but not be lower than, those established by the college faculty. ~~The University Senate shall approve any such differences in standards.~~

In addition to the functions and responsibilities described above, the faculty of a school without departments shall have any other functions and responsibilities which are delegated to a department faculty ~~as set forth in Part VII.A.6.~~

## 5. Faculties of Departments

### a. Membership

The membership of a faculty of a department shall consist of a chair and the regular, full-time members of the department who are members of the faculty of the school and/or college of which the department is a part. ~~(The faculties of a college and a school are defined in Parts VII.A.4 and VII.A.5, respectively.)~~ Membership, with or without voting privileges, also may be extended or withdrawn by the above department faculty to any person assigned to the department for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one department; in this instance, one assignment shall be designated as primary by the Provost ~~(Part X.B.1).~~

### b. Officers and Committees

The department faculty shall hold regularly scheduled meetings, at which the department chair shall preside except as the chair may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the chair of the department; or by a prescribed number of its voting faculty. The department chair shall be an ex officio member of all departmental committees. Copies of minutes of departmental faculty meetings and of meetings of department committees shall be made available to all members of the faculty of the department.

The department faculty shall establish rules, procedures and a committee structure concerning ~~educational policy~~ credit-bearing curricula matters over which it has jurisdiction and responsibility; and shall establish its quorum for the transaction of business. These proposed rules, procedures and committee

structure shall be submitted to the director of the school (if appropriate), the dean of the college; and the Provost for approval for consistency with ~~these~~[the](#) *Governing Regulations*, the *Administrative Regulations*; ~~University Senate Rules~~, *Rules of the Graduate Faculty*, rules of the college and (if appropriate) rules of the school faculty. Copies of the approved rules, procedures and committee structure shall be made available to the members of the departmental faculty and shall be filed with the director of the school, (if appropriate) the dean of the college of which the department is a unit, ~~the Provost~~, and the ~~University Senate Council~~[Provost](#).

c. Department Faculty Functions

Within the limits established by ~~these~~[the](#) *Governing Regulations*, the *Administrative Regulations*, ~~University Senate Rules~~, *Rules of the Graduate Faculty*; or the rules of the faculties of the school or college of which the department is a part, the department faculty has jurisdiction over ~~matters concerning its educational policies~~[the implementation of the credit-bearing curricula](#).

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs; and service functions. Jointly with the department chair, the department faculty shall establish procedures

to be used within the department concerning (1) ~~Recommendations~~recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments; and the granting of tenure and decisions not to reappoint; (2) the ~~Faculty~~faculty performance evaluations; and (3) ~~Preparation~~preparation of budget requests. The procedures in (1) and (2) above shall include consultation with directors of multidisciplinary research centers and institutes for those faculty members who are or shall be associated with such centers or institutes.

The department faculty shall develop statements describing the evidences of activity in ~~instruction~~education, research ~~and~~, service ~~and~~ care that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements shall be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department. Revisions to a department's statements, upon approval of the department faculty, shall also be submitted by the department chair to the dean for review and final approval.

The academic or scholastic requirements of a department may exceed, but not be lower than, those of the school and/or college of which the department is a part. ~~The University Senate shall approve any such differences in standards.~~

## **6. Faculty of Multidisciplinary Research Centers and Institutes**

### a. Faculty Membership and Functions

The faculty of a multidisciplinary research center or institute that is responsible for ~~establishing~~ implementing the ~~educational policies of the unit~~ credit-bearing curriculum shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty members with recurring, formally assigned instructional, research, and/or service duties in the unit. In addition, membership, with or without voting privileges, may be extended and withdrawn by the above center or institute faculty to any other person assigned to the unit for administrative, instructional, research, extension, clinical or librarian work.

Academic rank shall not be conferred by a multidisciplinary research center or institute, nor tenure acquired solely through activities performed in such a unit.

### b. Officers and Committees

A multidisciplinary research center or institute shall be administratively responsible to the Vice President for Research unless specifically designated to another chief academic officer. A faculty advisory committee shall be appointed for each research center or institute by the officer to whom the unit is administratively responsible.

## 7. Student and Staff Participation

Rules of procedure in educational units of the University shall provide, when appropriate, for participation of students ~~in the development of educational policies~~ and staff.

## F. Administrative Officers

### 1. Administrative Officers — General

Each administrative officer, other than the President, is responsible to the President, directly or through one or more superior officers, for the efficient operation of the organizational unit or functions for which the administrative officer is responsible. The duties of administrative officers reporting directly to the President shall be those delegated by the President ~~and described in Administrative Regulation 1-1, University Organization.~~ Each administrative officer is expected to recommend to the appropriate next

superior officer the administrative organization necessary to carry out assigned duties. The positions of deans, directors, and chairs of educational units, and their major duties assigned, are described below.

Each administrative officer is authorized to establish and enforce such policies and procedures as are attendant to delegated administrative duties and to

establish administrative or advisory committees to aid in the performance of assigned functions.

## 2. Administrative Officers of Educational Units

### a. Dean of the Graduate School

The ~~Deandean~~ of the Graduate School is chair of the Graduate Faculty and of the Graduate Council and serves as an ex-officio member of all committees of the Graduate School. Under the broad direction of the President and the Provost, the ~~Deandean~~ provides general planning, guidance, review, ~~and~~ coordination for all of the University's endeavors in graduate education. The ~~Deandean~~ appoints regular and associate members of the Graduate Faculty. The ~~Deandean~~ also recommends on budgets as these may affect graduate education and shall have the same authority and responsibilities as those of a dean of a college in the administration of educational units that might be transferred to or developed under the Office of the Dean of the Graduate School.

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

### b. Dean of the Honors College

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

In connection with the above administrative functions, the dean shall seek the advice of the faculty of the college: (1) individually, (2) as a whole, (3) through the elected college faculty council, ~~or~~ (4) through the faculty advisory committees.

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

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

c. Deans of the Colleges

A dean is the chief administrative officer of a college and is responsible for the enforcement of ~~these~~ ~~the~~ *Governing Regulations*, the *Administrative Regulations*, ~~University Senate Rules~~, *Rules of the Graduate Faculty*; and the rules of the college faculty. The dean is authorized to establish and enforce

such policies and procedures as are attendant to the administrative management of the operations of the college.

The dean is the chair of the college faculty and an ex officio member of all college committees. The dean is charged with overseeing the educational work of the college and its efficient conduct and management in all matters not specifically charged elsewhere. The dean is responsible for the implementation of the [credit-bearing](#) curricula of the college, for ensuring through the faculty the quality of instruction given therein, for the assignment of duties to all personnel; and for the service provided by the faculty of the college, individually and as a whole. The dean shall review faculty performance evaluations submitted by the department chairs and shall be responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, post-retirement appointments, promotions; and granting of tenure and decisions not to reappoint for members of the college or for ultimate action thereon when such authority has been delegated by the President or the Provost.

The dean shall submit the budget request for the college and administer the budget when it is approved. The President or Provost may delegate further administrative responsibilities to the dean. These responsibilities may vary from college to college.

In connection with the above administrative functions, the dean shall seek the advice of the faculty of the college: (1) individually, (2) as a whole, (3) through the elected college faculty council; or (4) through the faculty advisory committees. In addition to the roles and responsibilities described above, the dean of a college without departments shall have any other roles and responsibilities which are delegated to a department chair ~~as set forth in Part VII.B.6.~~ Staff employees



shall be consulted, when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

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

d. Directors of Schools

The director of a school serves as chair of the faculty of the school in the performance of its assigned functions and is an ex officio member of all committees of the school.

The director's administrative responsibilities shall be those delegated by the dean of the college of which the school is a part.

In connection with the above administrative functions, the director shall seek the advice of the faculty of the school: (1) individually, (2) as a whole, (3) through the elected school faculty ~~council, or councilor~~ (4) through faculty advisory committees. In addition to the roles and responsibilities described above, the director of a school without departments shall have any other roles and responsibilities which are delegated to a department chair ~~as set forth in Part VII.B.5.~~ Staff employees shall be consulted by the school director (or associate director), when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

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

e. Chairs of Departments

The department chair leads the department faculty in its development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs; and service functions. The chair presides at all department meetings, except as the chair may delegate this function; and is an ex officio member of all department committees. The chair has administrative responsibility for implementing the department's policies and programs within the limits established by ~~these *Governing Regulations*, the *Administrative Regulations*, University Senate Rules, Rules of the Graduate Faculty, the rules of the college, and the rules of any school of which it is a part.~~ [the \*Governing Regulations\*, the](#)

[Administrative Regulations, Rules of the Graduate Faculty, the rules of the college and the rules of any school of which it is a part.](#)

The department chair is responsible for recommendations on the appointment of new faculty employees of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint.

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, on matters relating to decisions not to reappoint, reappointment, terminal reappointment, or the granting of tenure of persons in any title series, the department chair shall consult with all tenured faculty members of the department. At a minimum, on matters relating to appointment or promotion of any persons in any tenure-eligible title series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department, with a rank at or above the rank to which the individual being considered would be appointed or promoted. At a minimum, on matters relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department ~~(GR VII.A.6(a))~~. On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of any multidisciplinary research centers or institutes, or graduate centers with which the individual is, or would be, associated, along with the recommendation of the chair.

On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. Faculty employees in the tenure-ineligible series shall not be consulted on matters relating to appointment, reappointment, terminal reappointment, decisions not to reappoint, promotion or the granting of tenure of faculty employees in the tenure-eligible title series, except by invitation of the department faculty as provided below.

A department faculty may establish policies that extend the above minimum consultation requirements in faculty personnel matters to include the specified

participation of other full-time faculty employees in any series in the department. Once these policies on extended participation privileges are approved by the department ~~faculty (GR VII.A.6(a))~~ and reviewed by the department chair, the dean and Provost for consistency with the *Governing Regulations, Administrative Regulations* and rules of the ~~College, and approved college~~, these policies shall be incorporated into the rules document of the department.

The following exceptions may be made: (1) faculty employees on approved leave of absence or with a primary administrative, service, or other assignment outside the department, who are otherwise eligible to participate, may, but are not required to, provide written judgments on all recommendations; (2) faculty employees at the rank of ~~instructor~~instructor in any title series participate only upon the granting of participation privileges by the department faculty,; and; (3) in a large and diverse department, upon prior recommendation by the department faculty ~~(GR VII.A.6(a))~~ and approval of the dean and the Provost, consultation with faculty employees may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

The department chair is responsible for the periodic evaluation of department members by procedures and criteria established by the University, the college, and the department faculty.

The department chair submits the budget request for the department and administers the budget after its approval. The chair also is responsible for making recommendations on salaries, salary changes, and distribution of effort.

In connection with the above major administrative functions, the chair shall seek the advice of members of the department, individually or as a group, or of advisory committees that the chair may appoint. Staff employees shall be consulted, when appropriate, by the chair, in the development of administrative policies and on decisions that directly affect staff employees.

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

f. Directors of Multidisciplinary Research Centers and Institutes

The administrative officer of a multidisciplinary research center or institute is a director, who also shall be a faculty member in a department, school, or college. The director of a multidisciplinary research center or institute is charged with the planning, implementation, coordination, and efficient

management of the program and activities of the center or institute. The director shall have the same responsibilities as those of a department chair relative to faculty members and staff employees with assigned duties in the center or institute. The director shall provide recommendations and advice to appropriate educational unit administrators concerning space, financial, and other resources, as well as the identification of faculty members for assignment of duties in the center or institute. The director shall submit the core budget request for the center or institute and administer this budget after its approval. In addition, the director may have other responsibilities delegated by the Vice President for Research or other academic administrator to whom the center or institute is administratively responsible.

In connection with the above major administrative functions, the director shall seek the advice of the faculty members of the center or institute, individually or as a group, or of advisory committees that may be appointed by the director of the center or institute or by the administrator to whom the center or institute is administratively responsible. The director shall speak for the center or institute and be an ex officio member of all of its committees and shall transmit the recommendations of the consulted faculty along with the director's recommendation, if these recommendations are different. Staff employees shall be consulted, when appropriate, by the director, in the development of administrative policies and on decisions that directly affect staff employees.

g. Dean/Director/Chair of Interdisciplinary Instructional Programs

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

The dean/director/chair shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on personnel and other needs of the program in connection with budget planning. For these administrative purposes, the director/chair shall rely upon the advice of a committee drawn from faculty members participating in the courses composing the [credit-bearing](#) curriculum and shall transmit the recommendations of the consulted faculty along with the director/chair's recommendation, if these recommendations are different. Staff employees shall be consulted by the director/chair, when appropriate, in the development of administrative policies and on decisions that directly affect staff employees.

## References and Related Materials

~~GR Part X, Regulations Affecting~~

~~Employment University Senate~~

~~Rules~~

~~Rules of the Graduate Faculty~~

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### **Revision History**

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

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



UNIVERSITY OF  
**KENTUCKY**  
Regulations

**Governing Regulation, Part IX**

Responsible Office: Board of Trustees

Date Effective: 3/27/2012

Supersedes Version: 6/13/2006

**Administrative Regulation — Reviews of Organizational Units and Their Chief Administrative Officers  
(Formerly GR IX)**

## Major Topics

[Program Review](#)

[Review of Chief Administrative Officers](#)

[Policies and Procedures for Reviews](#)

### I. Program Review

#### A. Program Review

The performance of each educational and administrative unit in the University\* shall be reviewed comprehensively at regular intervals by an ad hoc committee. The review period shall normally be from five

(5) to seven (7) years.

Ad hoc review committees for educational units shall be formed principally from faculty personnel, shall normally include members internal and external to the unit being reviewed, and may include members external to the University. Review committees for administrative units shall be formed from affected constituencies, including faculty and staff employees, shall normally include members internal and external to the unit being reviewed, and may include members external to the University.

\*Includes departments, schools, graduate centers, colleges, interdisciplinary instructional programs, and multidisciplinary research centers and institutes.

#### **H.B. Review of Chief Administrative Officers**

The performance of chief administrative officers shall be reviewed comprehensively at regular intervals. The reviews shall be designed to provide information to enhance leadership and unit effectiveness and to guide compensation and employment decisions.



Ad hoc review committees for chief administrative officers at the level of Provost, executive vice presidents, and deans shall be formed with representatives from affected constituencies and may include members external to the unit or university.

### **III.C. Policies and Procedures for Reviews**

Policies and procedures for conducting program reviews and reviews of chief administrative officers, as

established by the President after consultation with appropriate ~~administrative and faculty groups, including the University Senate and Staff Senate,~~ shared governance bodies are described in the *Administrative Regulations* ~~(AR 1:4)~~. Policies and procedures for conducting reviews of department chairs and school directors, as appropriate for the individual colleges, shall be established jointly by the dean and the college faculty.

A review of the performance of any unit at other than the regular interval may be initiated by the chief administrative officer of the unit, by an administrative officer responsible for the unit, or by the President. A review of the performance of any chief administrative officer at other than the regular interval may be initiated by the

officer, the officer's supervisor, or the President. Ordinarily such reviews [also](#) shall ~~also~~ be initiated if requested by a majority of the faculty of an educational unit or the staff employees of an administrative unit. Such requests shall be submitted to the administrative officer to whom the unit reports, who shall provide a written explanation if the officer disapproves the request.

## ~~References and Related Materials~~

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~~AR 1:4, The Planning, Budgeting, and Assessment Cycle~~

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### ~~Revision History~~

~~1/14/1998, 6/14/2005, 6/13/2006, 3/27/2012~~

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



**Governing ~~Administrative~~ Regulation, Part VIII — University Appointments (~~Formerly GR VIII~~)**

**A. Administrative Appointments**

**1. Regular Appointments**

~~The President is appointed by the Board of Trustees with the advice of a joint committee of the Board of Trustees, University Faculty, staff employees, student body, and alumni. The committee shall consist of six (6) members of the Board of Trustees, at least one (1) of whom shall be from among the three (3) alumni trustees, appointed by the Chair of the Board of Trustees; three (3) regular full-time faculty members, selected by a procedure determined by the University Senate; one (1) regular full-time staff employee appointed by the Chair of the Board of Trustees from a list of three (3) staff employees selected by a procedure determined by the Staff Senate; two (2) full-time students, one (1) undergraduate and one (1) graduate or professional student, appointed by the Chair of the Board of Trustees from a list of three (3) undergraduate students and three (3) graduate or professional students selected by a procedure determined by the Student Government Association; and one (1) member of the alumni appointed by the Chair of the Board of Trustees from a list of three (3) alumni selected by the Board of Directors or the Executive Committee of the University of Kentucky Alumni Association. The committee shall provide opportunity for discussion among representatives of administration, University Faculty, staff employees, student body, alumni groups, and prospective presidential candidates.~~

~~The Provost, executive vice presidents, vice presidents, chief administrative officers of educational units (deans, directors, and chairs), and every administrative and professional employee of the University who is to report directly to the President or whose position is at Level 50 or above in the Administrative and Professional Classification System shall be appointed by the Board of Trustees, acting upon recommendation of the President. Except in the cases of those individuals who report directly to the President, a recommendation from an appointee's superior officer shall be obtained prior to recommending an appointment or reappointment by the Board of Trustees. Staff employees, other than those described above may be appointed by the President, Provost, or appropriate executive vice president or vice president. The President shall report all appointments at Levels 47 through 49 in the Administrative and Professional Classification System to the Board of Trustees. The President, Provost, or the appropriate executive vice president or vice president may delegate the power to appoint personnel whose appointments are not made by the Board of Trustees to other appropriate administrative officers. If the Board of Trustees does not accept the recommendation of the President with respect to an appointment, it shall call upon the President to make another recommendation. Likewise, the President may refuse to approve a~~

~~recommendation, but, in each such case, the President shall ask for a new recommendation from the same or a new search committee. The same principle shall apply at all levels of the administrative organization.~~

The President is appointed by the Board of Trustees. The President shall appoint the Provost and the other members of the President's Cabinet.

## **2. Acting Appointments**

When vacancies occur in administrative positions other than the presidency, the President or the Provost or the appropriate executive vice president or vice president may appoint acting officers to fill the positions until it is possible to make regular appointments by the established procedure. When the officer is one who does not report directly to the President, the President or the Provost, or an executive vice president or a vice president, as appropriate, shall request a recommendation from that officer's superior. Acting appointments shall be for a maximum term of one (1) year; however, reappointments may be made after a satisfactory review. All appointments of acting officers shall be reported to the Board of Trustees. With the approval of the next higher administrative level, a regular administrative officer may designate a temporary officer to service in an acting capacity for a period not to exceed four (4) months while the regular officer is away from campus on University business or approved leave.

If the officer administers a college, center, school, or department, the Provost also shall request a recommendation on matters of acting appointment or acting reappointment from a committee which includes faculty members from that unit.

In the selection of an acting Provost, the President shall request a recommendation from a committee which includes faculty members and also recommendations from the ~~University~~ Faculty Senate ~~Council~~.

The search processes for an acting provost or chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit, and shall provide for the participation of other affected groups as appropriate.

## **3. Search Committees for Educational Units**

Recommendations ~~on~~ for the appointment of ~~at~~ the Provost ~~or of~~ and the chief administrative officers of all educational units of the University shall be made after advice from search committees.

When vacancies in administrative positions are anticipated, search committees shall be appointed sufficiently in advance of the vacancy to avoid the appointment of an acting administrator.

When unanticipated vacancies occur, search committees shall be appointed as soon as the established procedures for appointment can be carried out. The selection of faculty members for membership on search committees for administrative appointments above the level of dean shall be made after consultation with the ~~University~~ ~~Faculty~~ Senate ~~Council~~.

Recommendations of the search committee shall be transmitted to the President through the established administrative channels, along with the recommendation of the administrative officer responsible for the appointment. Recommendations on the appointment or reappointment of a chair of an academic department or division, or for the dean of a college or the director of a school that does not contain departments or divisions, shall be accompanied by written statements from at least the tenured members of the college, school, department or division.

Search committees for deans of colleges shall be appointed by the Provost after consultation with the ~~University~~ ~~Faculty~~ Senate ~~Council~~, and either the faculty or elected faculty council of the college.

Search committees for directors of schools shall be appointed by the deans of the colleges after consultation with the appropriate bodies as these bodies are identified in the rules of the respective school faculty.

Search committees for chairs of academic departments shall be appointed by the deans of the colleges after consultation with (1) the associate dean or director of the school within the college if the

department is in such a school; (2) the faculty of the department; and (3) the Dean of the Graduate School if the department is involved in a graduate program.

Search committees for directors of interdisciplinary research centers or institutes or interdisciplinary instructional programs shall be appointed, after consultation with the appropriate bodies, by the Vice President for Research, or other officer to whom administrative responsibility has been delegated.

The search processes for a provost or for chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit and shall provide for the participation of other affected groups, as appropriate.

#### **4. Terms of Chairs and Directors**



~~(a)~~a. Department Chairs

The term of a department chair's appointment shall be four (4) years, except in the Colleges of Agriculture, Dentistry, Medicine, Nursing; and Pharmacy where it shall be six (6) years.

Ordinarily, a department faculty member will be asked to serve as chair for only one (1) term. A chair may be reappointed, however, when the faculty advisory committee appointed to review the work of the department (AR 1:4) 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. This practice may vary from discipline to discipline.

~~(b)~~b. Chairs of Interdisciplinary Instruction Programs

Insofar as applicable, the rules for the appointment and reappointment of a department chair shall apply also to the appointment and reappointment of a chair of an interdisciplinary instructional program.

~~(c)~~c. Directors of Multidisciplinary Research Centers and Institutes

The director of a multidisciplinary research center or institute shall be appointed for a term of six (6) years. A director may be reappointed, however, when an ad hoc committee appointed to review and evaluate the center or institute (AR 1:4) finds that the particular circumstances and needs of the center or institute make such a reappointment desirable.

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**B. Academic Appointments, Reappointments, Promotions; and Granting of Tenure**

1. The Board of Trustees, acting upon the recommendation of the President ~~or the President's designee~~, shall take final action on all appointments, reappointment; and promotions of faculty members to positions which involve:

~~(a)~~a. an actual or equivalent academic rank of associate professor or professor;

~~(b)~~b. tenure; or

~~(c)~~c. an initial salary above a set of monetary thresholds approved by the Board of Trustees.

2. The President, or the President's designee, shall take final action on appointments, reappointments and promotions that do not require approval by the Board of Trustees. Such final actions shall be reported to the Board of Trustees through the Office of the President.

3. The President, following consultation with the ~~University~~[Faculty](#) Senate ~~Council~~, shall establish such review procedures as are appropriate to assist ~~the President, or other appropriate administrative officers designated by~~ the President, in making informed judgments concerning faculty appointments, reappointments, promotions, and the granting of tenure. Those procedures ~~shall~~[will](#) be codified in ~~AR 2:1~~[the Administrative Regulations](#). Any delegation of presidential authority in faculty appointments, reappointments, promotions, and the granting of tenure shall also be codified in ~~AR 2:1~~[the Administrative Regulations](#).

## ~~References and Related Materials~~

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~~KRS 164.220, Appointment, salaries and retirement benefits of university personnel~~

~~KRS 164.225, Board's exclusive jurisdiction over appointments, qualifications, compensation, promotions, and retirement programs~~

~~AR 1:4, The Planning, Budgeting, and Assessment Cycle~~

### ~~Revision History~~

~~12/11/2001, 6/14/2005, 3/27/2012, 12/11/2012~~

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

~~Governing~~ **Administrative Regulation XI** — ~~Student Affairs~~ *(Formerly GR XI)*

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~~Disposition of Cases – Authority~~

## ~~A. Student Government Association~~

~~The University of Kentucky Student Government Association is recognized by the Board of Trustees, administration, the Staff Senate and the University Senate as the official representative of the student body in University matters to ensure a maximum of self-government and to foster mutual respect, collaboration and cooperation between students and the faculty, staff and administration. It shall develop rules for its composition and procedures, and provide services to the students, staff, faculty, and administration of the University. These rules shall be consistent with the vision, mission and values of the University and shall be governed by the University's written policies and procedures, including those prescribed in the *Governing Regulations*, *Administrative Regulations* and *University Senate Rules*. Copies of the Student Government Association rules and approved changes shall be provided to all members of the student body of the University, the Secretary of the Staff Senate, the Secretary of the University Senate, Vice President for Student Success, the President, and the Secretary of the Board of Trustees.~~

~~The President of the Student Government Association shall be considered to be the President of the student body of the University as specified in KRS 164.131.~~

~~The Student Government Association may have additional responsibilities delegated to it by the President or the Office of the Vice President for Student Success. The Vice President for Student Success shall have administrative oversight of the Student Government Association in matters pertaining to the expenditure of university funds. The Vice President for Student Success shall also ensure that any action taken by the Student Government Association is consistent with University~~

~~written policies and procedures, including those prescribed in the *Governing Regulations, Administrative Regulations* and *University Senate Rules*. An appeal of a decision of the Vice President for Student~~

~~Success in any of the above matters may be made to the Provost. The Vice President for Student Success shall assign a university advisor to the Student Government Association, whose duties shall be to counsel and advise the organization and its officers as to their roles and responsibilities. The Student Government Association advisor shall review all proposed changes to the Student Government Association Constitution and By-Laws as well as rules for its composition and procedures and advise the Student Government Association concerning the consistency or inconsistency with University policies and procedures, including but not limited to the *Governing Regulations*, *Administrative Regulations*, *University Senate Rules* and the *Code of Student Conduct*.~~

~~Pursuant to KRS 61.810, the meetings of the Student Government Association are open meetings. Through the respective presiding officer, any person may request the privilege of the floor to address all meetings of the Student Government Association.~~

## ~~B. Student-University Relationships~~

The non-academic relationships between University students and the University are articulated in *Administrative Regulation 4:10, Code of Student Conduct*, ~~which has been adopted by the Board of Trustees and may be amended only by that body.~~

The academic relationships between University students and the University are ~~incorporated~~[set out](#) in ~~the *University Senate Rules*, which have been adopted by the University Senate~~[Administrative Regulation – Academic](#) and ~~may be amended only by that body.~~

~~Registration by the student constitutes acceptance of the policies in the *Code of Student Conduct* and the *University Senate Rules* governing student-University relationships~~[Affairs](#).

## ~~C.~~[B.](#) The University Appeals Board ~~=~~[=](#) Jurisdiction

There shall be a University Appeals Board (hereinafter UAB) with specific jurisdiction over student matters. The UAB shall be assigned either original or appellate jurisdiction over various students, as established by this ~~*Governing*~~[Administrative Regulation](#), as follows:

### 1. Disciplinary Offenses

In cases of disciplinary offenses ~~(outlined in the *Code of Student Conduct*)~~ where the student is sanctioned with social suspension, disciplinary suspension; or expulsion, the UAB shall have appellate jurisdiction.

### 2. Academic Offenses

(a) In cases of academic offenses ~~(outlined in the *University Senate Rules*, Section 6.3)~~ where the student contests guilt, the UAB shall have original jurisdiction.

[\(b\)](#) In cases of academic offenses ~~(outlined in the *University Senate Rules*, Section 6.3)~~ where the only issue is the severity of the sanction, the UAB shall have appellate jurisdiction.

~~(b)~~

### 3. Violation of Student Rights

(a) In cases where a student claims a violation of student rights (outlined in the *Code of Student Conduct*), the UAB shall hear any case referred to it by the Dean of Students and may grant the written appeal of any student to hear a case not referred to it by the Dean of Students.

(b) Registered student organizations that receive the majority of their regular operating budgets from allocations of student fee monies and/or University allocation shall have a hearing process which shall include final appeal to the UAB.

(c) \_\_\_\_\_ The UAB shall have jurisdiction over final decisions of University hearing agencies in which a student alleges a violation of student rights. In a case



~~(e)~~ involving a student election in which a candidate alleges that his or her student rights were violated, the UAB may affirm the decision of the Student Government Association appellate body, refer the matter back to the Student Government appellate body to correct the error identified by the UAB, or affirm or void the election. The jurisdiction of the UAB does not extend to the selection of the President of the Student Government Association.

#### **4. Violation of Academic Rights**

In cases where a student claims a violation of academic rights (~~outlined in the *University Senate Rules, Section 6.1*~~), *Administrative Regulation – Academic and Student Affairs*, the UAB shall have original jurisdiction.

#### **5. College Honor Code Offenses**

~~5.~~  
The UAB shall hold appellate jurisdiction over the decisions of college honor councils or committees, except that if the hearing panel, by majority of those present, decides the student's rights have been substantially violated, the hearing panel has original jurisdiction on the issue of guilt.

#### **6. Cases of Temporary Sanctions**

When the Vice President for Student Success imposes temporary sanctions on a student, the UAB shall have appellate jurisdiction.

### **D.C. Composition of the University Appeals Board**

1. The UAB shall consist of ~~thirty (30)~~ members, ~~eighteen (18)~~ faculty members and ~~twelve (12)~~ full-time students, ~~and a~~ A Hearing Officer ~~who~~ shall be the Chair.
2. —A hearing panel of the UAB shall consist of nine (9) members, ~~;~~ at least five (5) ~~of whom are~~ shall be faculty members, ~~and~~ at least one (1) ~~of whom is~~ shall be a student, ~~and a~~ A Hearing Officer, ~~who~~ shall be the chair.
3. A quorum of the hearing panel for the conduct of business will be nine (9), including the Hearing Officer, ~~;~~ at least five (5) faculty members (exclusive of the Hearing Officer) and at least one (1) student.

### **E.D. Appointments to the University Appeals Board**

#### **1. The Hearing Officer**

The Hearing Officer shall be the Chair of the hearing panel and shall be a person with training in the law appointed by the President of the University for a three-

year term, subject to reappointment. The term shall begin on September 1~~7~~ and end August 31. The Hearing Officer shall convene and preside at all meetings of the hearing panel, but does not vote as a member of the Board or have the authority to cast a tie breaking vote. All questions of the law, either substantive or procedural, and all procedural questions shall be addressed to and ruled upon by the Hearing Officer. The Hearing Officer shall have

the authority to exclude any hearing panel member that the Hearing Officer determines has a conflict of interest or the appearance of a conflict of interest with a case. If the Hearing Officer cannot serve when needed, the President or, in the President's absence, the Provost shall appoint a temporary substitute.

## 2. The Student Members

- (a) \_\_\_\_ The student membership of the UAB shall be appointed to one-year terms, subject to reappointment. Their terms shall begin September 1 and end August 31.
- (b) \_\_\_\_ The student membership shall consist of four (4) graduate or professional students and eight (8) undergraduate students. The undergraduates must be full-time students and either sophomores, juniors or seniors in good standing. The graduate or professional student must be a full-time student, have been in residence at least one year and be in good standing.
- (c) The President shall appoint student members to the UAB from the recommendations submitted by the Student Government Association and the college deans. Six (6) student members shall be appointed from those names submitted by the Student Government Association and six (6) members from those names submitted by the college deans, totaling ~~twelve (12)~~ student members.

## 3. The Faculty Members

Faculty members of the UAB shall be appointed to staggered three-year terms by the President of the University ~~upon the recommendation of the University Senate Council.~~ All terms shall begin on September 1 and end on August 31. To minimize the possibility of a conflict of interest, faculty members with primary administrative appointments (more than ~~fifty percent~~ 50% of their assignment allotted to administration) shall not be appointed to the UAB.

## 4. Temporary Appointments

- (a) If a sufficient number of the members of the UAB are not present or have been determined by the Hearing Officer to have a conflict of interest or the appearance of a conflict of interest at any time when that Board has duties to perform, the President of the University or, in the President's absence, the Provost, shall make such temporary appointments as are necessary to ensure that the required number of members are present. Such temporary appointments need not be preceded by the recommendations otherwise

~~(a)~~ provided herein. However, in no case shall a faculty member replace a student member or a student member replace a faculty member.

(b) If, at any time, in the judgment of the Hearing Officer, there are sufficient cases pending before UAB that it is unlikely that the pending cases can be processed within the time prescribed, the Hearing Officer shall notify the President of that fact. The President may, in accordance with ~~the above provisions of GR XI Section E~~ [this Administrative Regulation](#), activate additional boards and appoint a Hearing Officer for each such additional board, or appoint additional boards and hearing officers for designated cases and time periods.

(c) The authority, jurisdiction, and range of possible actions of, and the guaranteed rights of an accused person before any special board or panel appointed or activated under the terms of (a) or (b) above shall be the same as those applicable to the regularly constituted board or panel.

### ~~F.~~ E. Procedures of the University Appeals Board

Additional procedures of the UAB shall be those prescribed by ~~University Senate Rules~~ [the Administrative Regulation – Academic and Student Affairs](#) for academic cases, the *Code of Student Conduct* for non-academic cases, or by the UAB to effectuate the orderly conduct of its functions.

### ~~G.~~ F. Disposition of Cases = Authority

The University Appeals Board has authority to decide appeals of both academic and non-academic cases. With respect to the UAB's resolution of academic cases arising under either its original or appellate jurisdiction, the UAB operates within [University Senate Rules](#) [the Administrative Regulation – Academic and Student Affairs](#) that define academic offenses, create a range of sanctions to be imposed upon a finding of guilt; and establish the standard of proof, subject only to the limitations imposed by the Constitutions and statutes. With respect to non-academic cases, the range of sanctions and standard of proof are set out in the *Code of Student Conduct*, subject only to the limitations imposed by the Constitutions and statutes. The decisions of the UAB are final.

## References and Related Materials

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[KRS 164.131, Board of Trustees of University of Kentucky;](#)  
[Membership, Terms University Senate Rules, Sections 6.1 and 6.3](#)

[UK Administrative Regulation 4:10, Code of Student Conduct](#)

## Revision History

[12/11/2001, 6/14/2005, 3/7/2006, 5/8/2015, 6/17/2022](#)

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



# University Regulations

## ~~Governing~~ **Administrative Regulation — Issuance of Administrative Regulations and Other Policies (Formerly XIII)**

### A. Regulations

~~These Governing Regulations describe the composition, powers and duties of the Board of Trustees and establish policies and procedures for the performance of the Board of Trustees functions. These Governing Regulations contain policies established by the Board of Trustees for the governance of the University. These Governing Regulations delineate the duties of the President and responsibilities of the University Senate, Staff Senate, Student Government Association, the educational units and their administrative officers. The Board of Trustees makes final approval of these Governing Regulations.~~

### B. ~~Administrative Regulations~~

As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the *Administrative Regulations*, including the *Human Resources Policies and Procedures* and the *Business Procedures Manual*. ~~(Governing Regulations, Part II) (See also, Administrative Regulation 1:6, Formulation and Issuance of University Governing Regulations and Administrative Regulations)~~

#### 1. Administrative Regulations

The *Administrative Regulations* provide interpretation and implementation of University-wide policies set forth by the Board of Trustees in ~~these~~**the** *Governing Regulations* ~~and the Minutes of the Board of Trustees~~. *Administrative Regulations* promote the responsible and efficient administration of the University and the accomplishment of its goals. The President makes final approval of the *Administrative Regulations* ~~unless Board of Trustee approval is appropriate~~.

~~The Administrative Regulations are available on-line on the University's web site at [www.uky.edu/regs](http://www.uky.edu/regs).~~

#### 2. Human Resources Policies and Procedures

The *Human Resources Policies and Procedures* define University employees and provide interpretation and implementation of University policies concerning University employment. The President, or designee, makes final approval of the *Human Resources Policies and Procedures*.

The *Human Resources Policies and Procedures* are available online on the University's web site at [www.uky.edu/HR/policies/](http://www.uky.edu/HR/policies/).

### **3. Business Procedures**

The *Business Procedures Manual* includes information related to the purchasing of goods and services, payroll activities, accounting for financial transactions, presents policy statements to aid in decision-

making and procedure steps for implementation, and assists all University departments in handling their daily business transactions. The President, or designee, makes final approval of the *Business Procedures Manual*.

The *Business Procedures Manual* is available on line on the University's web site at [www.uky.edu/Regs/BPM/](http://www.uky.edu/Regs/BPM/).

## ~~C. Amendments of these Governing Regulations~~

~~These *Governing Regulations* may be amended at any meeting of the Board of Trustees provided at least one (1) month has elapsed between proposal of the amendment(s) and final passage. The President, or the University Senate, the Staff Senate, or the Student Government Association, through the President, may recommend amendments to these *Governing Regulations* to the Board of Trustees.~~

~~The President, the University Senate, the Staff Senate, and the Student Government Association, as appropriate, shall have an opportunity to recommend on all amendments before final action by the Board of Trustees.~~

~~As the basic law of the University, these *Governing Regulations* supersede any previously approved rules or regulations in conflict therewith. Matters not specifically covered in these *Governing Regulations*, the *Administrative Regulations*, including the *Human Resources Policies and Procedures* and the *Business Procedures Manual*, *University Senate Rules*, and the *By-Laws of the University of Kentucky Staff Senate* are governed by administrative interpretation.~~

~~The *Governing Regulations* are available on line on the University's web site at [www.uky.edu/regs](http://www.uky.edu/regs).~~

## ~~References and Related Materials~~

~~Governing Regulation, Part II—Governance of the University of Kentucky~~

~~Administrative Regulation 1:6—Formulation and Issuance of University Governing Regulations and~~

### ~~Revision History~~

~~1/14/1998, 6/14/2005, 3/27/2012~~

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





# ~~Governing~~ **Administrative** ~~Regulation, Part XIV~~

## ~~— Ethical Principles and Code of Conduct (GR XIV)~~

### ~~Major Topics~~

#### ~~A. Ethical Principles~~

#### ~~B. Code of Conduct~~

- ~~1. Nondiscrimination Policy~~
- ~~2. Confidentiality of Information~~
- ~~3. Use of the University's Name~~
- ~~4. Civic Responsibility of the Individual~~
- ~~5. Discrimination and Harassment~~
- ~~6. Personal Relationships~~
- ~~7. Employment of Relatives (Nepotism)~~
- ~~8. Intellectual Property~~
- ~~9. Conflict of Commitment~~
- ~~10. Conflict of Interest~~
- ~~11. Auditing Services~~
- ~~12. University Resources~~
- ~~13. Fiscal Responsibility~~
- ~~14. Financial Advantage~~
- ~~15. Compliance Responsibilities~~
- ~~16. Compliance (Whistle Blower) Protection~~
- ~~17. Truth, Honesty, and Integrity~~
- ~~18. Acceptance of Gifts or Benefits~~
- ~~19. Clarifications and Reporting Violations~~

# Introduction

~~The University of Kentucky Ethical Principles and Code of Conduct document the University's expectations of responsibility and integrity by its members.~~

## A. Ethical Principles

### A. Ethical Principles

~~Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004 and modified on March 27, 2012.~~

~~1. The following core values guide our decisions and behavior:~~

- ~~• Integrity;~~
- ~~• Excellence;~~
- ~~• Mutual respect and human dignity;~~
- ~~• Diversity and inclusion;~~
- ~~• Academic freedom;~~
- ~~• Personal and institutional responsibility and accountability;~~
- ~~• Shared governance;~~
- ~~• A sense of community;~~
- ~~• Work-life sensitivity;~~
- ~~• Civic engagement; and~~
- ~~• Social responsibility.~~

~~2. Each member of. To that end, each individual who acts for the University must endeavor to comply with the following.~~

- ~~• Promote the best interests of the University of Kentucky;~~
- ~~• Foster the Vision, Mission, and Values of the University;~~
- ~~• Preserve the public's respect and confidence in the University of Kentucky;~~
- ~~• Exhibit personal integrity, honesty, and responsibility in all actions;~~
- ~~• Provide an environment of mutual respect, impartiality, and collaboration;~~
- ~~• Maintain confidentiality in all matters deemed confidential;~~
- ~~• Assure independence of judgment free from conflicting interests;~~
- ~~• Ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed;~~
- ~~• Comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations; and~~
- ~~• Demonstrate stewardship of University property and resources.~~

### **B. Code of Conduct**

Those acting on behalf of the University of Kentucky have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for those who act for the University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and

representatives acting as agents of the University (collectively “University members”). The conduct of students is addressed in the Student Rights and Responsibilities.

The Code of Conduct is intended to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. Violations of this code will be subject to appropriate sanctions. In addition to the Code, [those who act for the University](#) ~~members~~ are subject to all University regulations, policies, and state and federal law. As applicable, [those who act for the University](#) ~~members~~ shall comply with:

- [Federal laws, regulations, and policies;](#)
- [Kentucky Revised Statutes \(KRS\) and Kentucky Administrative Regulations \(KAR\);](#)
- [University and unit-level policies and procedures including, but not limited to, the \*Governing Regulations \(GR\)\*, \*Administrative Regulations \(AR\)\*, \*Human Resources Policy and Procedure Manual \(HRP&P\)\*, the \*Business Procedures Manual \(BPM\)\*, and \*University Faculty Senate Rules\*;](#)
- [Contract, grant, and donor stipulations;](#)
- [Accreditation requirements; and](#)
- [Generally accepted accounting principles.](#)

While this Code of Conduct provides expectations and interpretation, additional guidance is found in other official University policy documents, such as the *Governing Regulations*, *Administrative Regulations*, *Human Resources Policies and Procedures*, *University Senate Rules*, and *Business Procedures Manual* [and Faculty Senate Rules](#).

#### ~~1. Nondiscrimination Policy~~

~~The University of Kentucky complies with the federal and state constitutions, and all applicable federal and state laws, regarding nondiscrimination. The University provides equal opportunities for qualified persons in all aspects of University operations, and does not discriminate on the basis of race, color, national origin, ethnic origin, religion, creed, age, physical or mental disability, veteran status, uniformed service, political belief, sex, sexual orientation, gender identity, gender expression, pregnancy, marital status, genetic information, social or economic status, or whether the person is a smoker or nonsmoker, as long as the person complies with University policy concerning smoking.~~

~~All University members are expected to comply with the institution's nondiscrimination policy. The President is responsible for the development of an affirmative action plan by which full implementation of this policy shall be effected in the University. (See AR 6:1 and HRP&P 2.0.)~~

## **2.1. Confidentiality of Information**

Those who act for the University ~~members~~ are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about students, faculty, ~~staff~~ and ~~students~~staff must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, those who act for the University ~~members~~ should presume information is confidential until determined otherwise.

## **3.2. Use of the University's Name**

Those who act for the University ~~members~~ have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. Those who act for the University ~~members~~ may not use or allow the use of the name of the University or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the University of Kentucky. Those who act for the University ~~members~~ are encouraged to contribute to public debate as citizens.

In instances where [those who act for the University](#)-members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, [those who act for the University](#)-members must use personal stationery and personal e-mail accounts.

#### **4.3. Civic Responsibility of the Individual**

In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, ~~although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. When staff employees or faculty members.~~ [When employees](#) speak or write as citizens, they should indicate that they are not speaking for the University.

#### **5.4. Discrimination and Harassment**

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of prohibited discrimination and harassment, which includes sexual and other forms of harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits discrimination and

harassment of or by students, faculty, and staff and assures that complaints of discrimination and harassment shall be treated and investigated with full regard for the University's due process requirements. In addition, allegations of discrimination and harassment by customers, visitors, contractors and employees of contractors will be investigated, and appropriate action shall be taken. The University policy and procedures on discrimination and harassment can be found in AR 6:1.

### **6.5. Personal Relationships**

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee. ~~(See AR 6:1)~~

### **7.6. Employment of Relatives (Nepotism)**

This nepotism policy reflects the realities of today's multi-professional, dual-career families in a manner that addresses nepotism concerns but does not inhibit the ability of the University to hire the best qualified individuals. Nepotism is generally inconsistent with the University's longstanding policy of making employment decisions based solely on unit needs and individual qualifications, skills, ability, and performance.

Nepotism is generally prohibited within the University community. Nepotism means actions by a member of the University community that shall directly influence, benefit, or cause detriment to ~~the University employment~~ (e.g., ~~hiring, promotion, supervision, evaluation,~~ and [determination of salary](#)) of any other

~~determination of salary) of any other~~ member who is a relative. Relative means a person's father, mother, brother, sister, husband, wife, son, daughter, aunt, uncle, son-in-law, daughter-in-law, and step-relatives in the same relationships.

The employment of relatives within the University is not precluded, ~~as long as if~~ the employment is in compliance with all University policies regarding employment qualifications, performance, promotion, and management of situations where nepotism, or the appearance of nepotism, is possible. ~~See Governing Regulation X, Regulations Affecting Employment, and Human Resources Policy and Procedure 19.0, Nepotism, for additional University policies and procedures related to nepotism and the appropriate management of situations involving the employment of relatives within the University.~~

### ~~8.7.~~ 8.7. Intellectual Property

~~Those who act for the~~ University ~~members~~ should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by ~~students, faculty, and staff, or students of at~~ the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or its designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author. (See AR 7:6).

### ~~9.8.~~ 9.8. Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and shall be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in AR 3:9.



A staff employee may be employed outside the University when the employment does not constitute a conflict with University interests and when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee's ability to perform satisfactorily. A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest. Adherence with this policy is the responsibility of the staff employee who seeks outside employment; however, it is recommended the employee advise his or her department head of the outside employment.

#### **~~40.9.~~ 9. Conflict of Interest**

The public's respect and confidence in the University of Kentucky must be preserved. Confidence in the University of Kentucky is put at risk when the conduct of those who act for the University ~~members~~ does, or may

reasonably appear to, involve a conflict between private interests and obligations to the University. ~~All~~ Those who act for the University ~~members~~ shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

AR 7:2, ~~Research Conflict~~ Financial Conflicts of Interest ~~and Financial Disclosure Policy~~, sets forth specific relationships and activities that pose a potential conflict of interest for faculty, staff, and students involved in research and related activities. The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. After disclosure, the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

#### ~~4.10.~~ 4.10. **Auditing Services**

To effectively discharge their fiduciary and administrative responsibilities, the University's administration and the Board of Trustees are assisted by internal and external (independent) auditing services. These services provide independent, objective assurances and consulting services with respect to evaluating risk management, control, and governance processes. It is a violation of University policy to mislead or give false information to or intentionally omit material facts ~~from internal or external (independent) auditor(s).~~

from internal or external (independent) auditor(s).

#### ~~42.~~11. **University Property and Resources**

Those who act for the University ~~members~~ shall be responsible stewards of University property and resources. Those who act for the University ~~members~~ are entrusted with protecting the property, equipment; and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties.

University property and resources shall not be used for personal business or commercial activities. However, in some instances, when the goals of the individual and the University coincide, a those who act for the University ~~member~~ may use University equipment outside of the realm of his or her professional duties. Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located; and must provide that the University will be reimbursed for the full cost of the use of the property and resources. Such use must not interfere with the University of Kentucky's uses; and must occur outside of the ~~University member's~~ regular employment assignment: of those who act for the University. The Office of Legal Counsel may assist with an appropriate agreement.

#### ~~43.~~12. **Fiscal Responsibility**

The University is committed to responsible stewardship. The Board of Trustees, President, executive officers, administrators, deans, department chairs, directors, principal investigators; and all others functioning as area or unit heads are responsible for setting a tone of accountability and high ethical standards in financial matters. All employees are expected to comply with the requirements outlined in:

- ~~GR Part I;~~ The University — Declaration of ~~Kentucky (Definition);~~

- ~~UK Ethical Principles and Code of Conduct~~;
- A01-005, UK HealthCare Code of Ethics;
- AR 3:9, External Consulting, Other Outside Employment and Internal Overload Activity;
- AR 7:2, Research Conflict of Interest and Financial Disclosure Policy; and
- AR 7:9, Institutional Conflicts of Interest Involving Research

All organizational units (e.g., administrative area, college, department, division, center, or office) are expected to maintain a strong internal control environment

for the University as defined in the *Business Procedures Manual*. (See BPM ~~E-1-3, Fiscal Roles and Responsibilities~~ [E-1-3, Fiscal Roles and Responsibilities](#), and E-1-4, Internal Control.)

Each organizational unit head is accountable for the sound financial management of the unit and retains this fiscal responsibility if authority for transactional processing, record keeping, approving and monitoring is delegated to others.

#### ~~14.13.~~ 13. **Financial Advantage**

Members of the University community shall exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Except as specifically approved by the Board, purchases and contracts shall not be made with an employee of the University for any item of supply, equipment; or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University. ~~(See BPM B.2.C, KRS 164.131, and KRS 164.367.)~~ An indirect interest may be defined as a real or perceived use of a university position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned.

An employee seeking approval under this section shall first make an application to the University Ethics Committee by submitting in writing a full disclosure of all aspects of his or her relationship with the contracting company or business. The Ethics Committee shall make a recommendation to the President, who shall forward to the Board the Committee's recommendation together with his or her recommendation. In recommending approval of a contractual relationship, the Committee shall determine that:

- a. the contractual relationship is in the best interest of the University;
- b. the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest;
- c. if the conflict is subject to the provision of KRS Chapter 45A, the employee's contract shall be the lowest price bid or otherwise provides the best value to the University;
- d. the employee's interest in the contract does not present a conflict with the ~~employee performing his or her job; and,~~ employee performing his or her job; and,
- e. the nature of the contract and the nature of the employee's interest in the

e. contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible.

Action taken by the Board shall be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.

#### ~~15.14.~~ 14. **Compliance Responsibilities**

a. University

The University is committed to sustaining a culture of ethical behavior, trust, and compliance. This culture is one in which individuals are comfortable raising concerns when a good faith belief exists that the actions of those who act for the University ~~member~~ or unit are not consistent with laws, regulations, policies, or standards. The University shall ensure that appropriate actions are taken to resolve non-compliance and persons making good-faith reports of non-compliance shall not be subjected to retaliation.

b. Those Who Act for the University ~~Members~~

Those who act for the University ~~members~~ shall take appropriate measures to prevent, detect, and report compliance violations or suspected violations. Those who act for the University ~~members~~ shall, acting in good faith, report suspected compliance violations through the standard chain of command, through one's supervisor, or, if not appropriate because of that individual's potential involvement, to a higher level of management, to Human Resources, to a compliance officer or to the University Ethics Committee. (See AR 1:7) It is the responsibility of all those who act for the University ~~members~~ to know and abide by rules, laws, regulations, contracts and University policies and procedures that are applicable to the work or activity undertaken, including, but not limited to the following:

- Federal laws, regulations, and policies;
- Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);
- University and unit-level policies and procedures including, but not limited to the *Governing Regulations (GR)*, *Administrative Regulations (AR)*, *Human Resources Policy and Procedures (HRP&P)*, *Business Procedures Manual (BPM)*, and *Rules of the University Faculty Senate*;
- Contract, grant, and donor stipulations; and
- Accreditation requirements.

~~16.~~ 15. **Compliance (Whistle Blower) Protection**

It is a violation of University policy to retaliate against an individual because she

or he has made, in good faith, a disclosure of noncompliance or has participated in an investigation, proceeding or hearing involving noncompliance of any of the above.

~~47.16.~~ 16. **Truth, Honesty, and Integrity**

a. Those who act for the University ~~members~~, with no exceptions, shall:

~~a.~~

- Act with high ethical and professional standards of conduct;
- Be honest in performing their duties;
- Propose, conduct, and report research and transmit research findings with integrity and honesty;
- Protect people and humanely treat animals involved in research and teaching;
- Protect the intellectual property rights of individuals, the University, and third parties; and
- Respect the intellectual property rights of others.

b. Those who act for the University ~~members~~, with no exceptions, shall not:

- Fabricate information;
- Change or knowingly omit information to misrepresent events, circumstances, results or outcomes in official University records or documents; or
- Take credit for another's work or work product without appropriate ~~permission.~~

permission.



#### ~~18.17.~~ 17. **Acceptance of Gifts or Benefits**

~~University members'~~ Those who act for the University's decisions and actions shall be based on the best interest of the University. No member shall accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor.

When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position or activities with the University may be accepted. The following limits shall be observed:

- a. Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported.
- b. Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance.

- c. Acts of hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.
- d. Individuals may not accept gifts valued above \$200. However, these gifts or benefits shall be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.

UK HealthCare employees shall also abide by more stringent rules outlined in the Code of Conduct Addendum. (See HealthCare Policy A01-005, UK HealthCare Code of Ethics.)

### ~~19.18.~~ Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation, counsel or advice regarding this policy, contact the Office of Legal Counsel.

Those who act for the University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against at those who act for the University member who makes when making a good faith report of a violation.

## References and Related Materials

~~KRS 45A, Kentucky Model Procurement Code~~

~~KRS 118.015(1), Definitions~~

~~KRS 164.160, Trustees—power to receive and administer revenue and property KRS~~

~~164.200, Regulations for university—Physical training and discipline of students~~

~~KRS 164.367, Governing board may permit its employees to have an interest in a contract between the institution and a business—Regulations to be forwarded to the Legislative Research Commission~~

~~GR Part X, Regulations Affecting Employment~~

~~AR 3:9, Faculty Consulting and Other Overload Employment~~

~~AR 6:1, Policy on Discrimination and Harrassment~~

~~AR 7:2, Research Conflict of Interest and Financial Disclosure Policy~~

~~AR 7:6, Intellectual Property Disposition~~  
~~AR 7:9, Institutional Conflicts of Interest~~  
~~Involving Research A01-005, UK HealthCare~~  
~~Code of Ethics~~  
~~HRP&P 2.0, Equal Opportunity, Discrimination, and~~  
~~Harassment BPM B.2.C, General Purchasing and~~  
~~Contracting Authority~~  
~~BPM E-1-3, Fiscal Roles and~~  
~~Responsibilities BPM E-1-4, Internal~~  
~~Control~~

## ~~Revision History~~

~~The Content of this GR was formerly part of GR, Part I: 6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/2008, 3/27/2012~~

~~GR XIV: 6/11/2013, 5/8/2015~~

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

Governing Regulation I — [Declaration of Principles](#)

# The University of Kentucky (~~Definition~~)

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## ~~A. Statutory Definition~~

### ~~is a promise — a promise~~

- ~~1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of “Agricultural and Mechanical College of Kentucky.” Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.~~
- ~~2. Legislation in KRS 164.120 states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required by the Land~~

Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University: [people](#)

a. ~~The~~ dates of establishment of the colleges listed in KRS 164.120 are:

- ~~Arts and Sciences, 1908;~~
- ~~Agriculture, 1908, now **Agriculture, Food, and Environment**, July 1, 2013 (History: *College of Agriculture*, established 1908; renamed *College of Agriculture, Food, and Environment*, July 1, 2013);~~
- ~~Law, 1908, now J. David Rosenberg College of Law, December 10, 2019;~~
- ~~Education, May 22, 1923;~~
- ~~Graduate School, 1912;~~
- ~~Engineering, 1918 (History: established through merger of the *College of Civil Engineering*, the *College of Mechanical Engineering*, and the *College of Mines and Metals*, 1918); and~~
- ~~Commerce, 1925, now **Carol Martin Gatton College of Business and Economics**, December 12, 1995 (History: *College of Commerce*, established 1925; renamed *College of Business and Economics*, July 1, 1966; renamed *Carol Martin Gatton College of Business and Economics*, December 12, 1995);~~

b. In accordance with KRS 164.120, the following colleges have been subsequently established by the Board of Trustees:

- ~~Pharmacy, July 1, 1947 (History: established Aug. 16, 1870, as the Louisville College of Pharmacy; an independent institution of higher education; became part of the University of Kentucky in 1947; and part of the newly developed UK Chandler Medical Center in 1966);~~
- ~~Medicine, June 1, 1954;~~
- ~~Dentistry, May 28, 1956;~~
- ~~Nursing, May 28, 1956;~~
- ~~Architecture, July 1, 1964, now **Design**, October 29, 2002 (History: *School of Architecture* separated from the *College of Engineering*, July 1, 1964; raised to *College of Architecture*, May 5, 1970; renamed *College of Design*, October 29, 2002, consisting of the *School of Interior Design*, a new *School of Architecture* to replace the *College of Architecture*, and *Historic Preservation*);~~
- ~~Allied Health Personnel, January 1, 1966, now **Health Sciences**, April 30, 2002 (History: established as *School of Allied Health Personnel*, January 1, 1966; renamed *School of Allied Health Professions*, January 20, 1967; raised to a college, May 5, 1970; renamed *College of Health Sciences*, April 30, 2002);~~
- ~~Public Health July 1, 2004;~~
- ~~Home Economics, 1916, now **School of Human Environmental Sciences**, July 1, 2003 (History: separated from the *College of Agriculture* as *College of Home Economics*, 1916; merged back into *College of Agriculture*, 1917; separated from *College of Agriculture* as the *School of Home Economics*, July 1, 1967; raised to *College of Home Economics*, May 5, 1970; renamed *College of Human Environmental Sciences*, January 22, 1991; merged into the *College of Agriculture* as the *School of Human Environmental Sciences*, July 1, 2003);~~
- ~~Library Science, April 2, 1968, now **School of Library and Information Science**, June 22, 1993 (History: separated from College of Arts and Sciences as the *School of Library Science*, April 2, 1968; raised to *College of Library Science*, May 5, 1970; renamed *College of Library and Information Science*, April 6, 1982; merged with *College of Communications* as the *College of Communications and Information Studies*, and *Library and Information Science* became the *School of Library and Information Science* within the new college, June 22, 1993);~~
- ~~Communications, May 4, 1976, now **Communication and Information**, July 1, 2012 (History: *School of Journalism and Department of Human Communications* separated from College of Arts and Science to form the *College of Communications*, May 4, 1976; merged with *College of Library and Information Science* as *College of Communications and Information Studies*, and *Library and Information Science* became the *School of Library and Information Science* within the new college, June 22, 1993; renamed *College of Communication and Information*, July 1, 2012); and~~

- ~~**Social Professions**, June 24, 1968, now **Social Work**, May 6, 1980 (History: separated from Arts and Sciences as the *School of Social Professions*, June 24, 1968; raised to *College of Social Professions*, May 5, 1970; renamed *College of Social Work*, May 6, 1980);~~
- ~~**Fine Arts**, May 4, 1976 (History: School of Music, Department of Art, and Department of Theatre Arts separated from the College of Arts and Sciences to form the College of Fine Arts, May 4, 1976); and~~
- ~~**Lewis Honors College**, June 24, 2016.~~

~~3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University's research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) in carrying out its statewide mission, the University of Kentucky shall conduct statewide research and provide statewide services including, but not limited to, agricultural research and extension services, industrial and scientific research, industrial technology extension services to Kentucky employers, and research related to the doctoral, professional, and post-doctoral programs offered within the University; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.~~

## ~~B. University Programs and Requirements~~

~~1. **The** University of Kentucky shall provide:~~

- ~~a. Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;~~
- ~~b. Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state; and~~
- ~~c. Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)~~

~~2. **The Board of Trustees** is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.~~

## ~~C. Vision, Mission, and Values~~

~~1. **Strategic Vision Statement**~~

~~As Kentucky's indispensable institution, we transform the lives of our students and to advance the Commonwealth we serve and beyond state through our teaching and learning, diversity and inclusion, discovery, research and creativity, promotion of health, and deep community engagement.~~

## ~~2. Mission Statement~~

~~The University of Kentucky is a public, land grant university dedicated to improving people's lives through excellence in education, research and creative work, service, research and health care. As Kentucky's flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being.~~

~~The University of Kentucky:~~

- ~~• Facilitates learning, informed by scholarship and research;~~
- ~~• Expands knowledge through research, scholarship and creative activity; and~~
- ~~• Serves a global community by disseminating, sharing and applying knowledge.~~

~~The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.~~

## ~~3. University Values~~

~~**The University** of Kentucky is guided by its core values:~~

- ~~• Integrity;~~
- ~~• Excellence;~~
- ~~• Mutual respect and human dignity;~~
- ~~• Diversity and inclusion;~~
- ~~• Academic freedom;~~
- ~~• Personal and institutional responsibility and accountability;~~
- ~~• **Shared governance;**~~
- ~~• A sense of community;~~
- ~~• Work-life sensitivity;~~
- ~~• Civic engagement; and~~
- ~~• Social responsibility.~~

## ~~D. Diversity~~

~~The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities, support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.~~

## ~~E. Shared Governance~~

~~The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy makers at every level of the organization to make better~~



~~decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority. Through these empowering processes of shared governance,~~

~~the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.~~

## ~~F. Order of Communication and Reports~~

~~All University faculty members and staff employees shall have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.~~

~~All faculty members and staff employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.~~

~~When a supervisory decision or reporting relationship involves a conflict of interest, the next higher level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.~~

~~This regulation shall in no way limit the President in communicating with faculty members or staff employees, nor shall it prevent communication between faculty members, staff employees, or administrative officers, and the Board of Trustees for purposes other than the submission of official recommendations and communications.~~

## ~~G. Use of University Property and Resources~~

~~Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.~~

~~By virtue of the above, University property and resources, including but not limited to real property, equipment, human resources, and other tangible and intangible assets, shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility in accordance with these *Governing Regulations*, [along with its implementing Administrative Regulations](#), and [University Senate Rules](#) articulate principles for how policy is created, how authority and responsibilities for executing those policies are distributed and, ultimately, how they are operationalized to ensure the successful management of the institution.~~

~~To those ends, the Board of Trustees declares these principles to guide all aspects of the [governance of the University](#).~~

## A. The Board of Trustees Holds the Final Authority for the University

### 1. The Board of Trustees Is the Representative Body of the People

The General Assembly, as the People's agents, created the University as an independent body politic of the Executive Branch. Complying with the federal mandate to establish a land grant institution,<sup>1</sup> the General Assembly defined the powers, mission and scope of the University.<sup>2</sup> Through the democratic process, the Legislature or the People themselves may alter the University or its mission.

To ensure accountability to the People, the General Assembly established the Board of Trustees to serve as the People's Representatives.<sup>3</sup> Sixteen Trustees are appointed by the Governor — an elected constitutional officer — and confirmed by the state Senate, elected representatives of the People.<sup>4</sup> Four of the 20 Trustees are chosen through democratic elections involving various parts of the University community.<sup>5</sup> To continue accountability after the appointment or election, in certain circumstances, the Governor may remove any Trustee or all appointed Trustees.<sup>6</sup>

### 2. The Board Has Final Policymaking Authority and Final Administrative Authority

Subject to the limitations by the Constitutions and the law, the Board — as the People's Representatives — has final authority over all matters including financial, educational and other policies of the University. This reflects the original understanding of the Board's role. Indeed, the original *Governing Regulation I*, adopted in 1917, declared the Board "is the final authority in all matters affecting the institution and exercises jurisdiction over its financial, educational and other policies, and its relation with the state and federal governments." <sup>7</sup>

The Board's final authority encompasses both policymaking authority and administrative authority. The Board decides the policies for the University, and it delegates responsibility for the implementation of those policies to the President.<sup>8</sup>

In adopting this *Governing Regulation*, the Board explicitly withdraws all earlier delegations of its policymaking authority.

Consistent with the principles of the institution's accrediting body, the Board, after hearing recommendations from the President, will decide the policies of the University. In formulating recommendations, the President may consult with students, faculty and staff as appropriate.

### **3. The Board Delegates Administrative Authority to the President**

As the University is complex, it is necessary for the Board to delegate administrative authority over day-to-day operations to the President.<sup>9</sup> In exercising administrative authority, the President is accountable to the Board. The Board may remove the President at any time in accordance with the President's contract.

It is necessary for the President to further delegate some administrative authority to the President's subordinates. These individuals will have significant authority but will always be subject to the ongoing supervision of the President.

This delegation of administrative authority to the President is consistent with the University's accrediting body. Indeed, "[t]he chief executive officer has ultimate responsibility for, and exercises appropriate control over, the institution's educational, administrative, and fiscal programs and services."<sup>10</sup> Furthermore, "[the chief executive officer] oversees an organizational structure that includes key academic and administrative officers and decision makers with credentials appropriate to their respective responsibilities."<sup>11</sup> "Generally this oversight is done through a structural arrangement whereby key officers of the institution report directly to the [chief executive officer], or to a chief operating officer who in turn reports to the chief executive officer."<sup>12</sup>

#### **B. Shared Governance**

Shared governance is a bedrock principle and a value of the University. It is critical to how the University meets its mission. The Board shall set the policy direction for the institution. The President shall implement policy. In doing so, the President shall seek the counsel of students, faculty and staff, particularly within their respective domains of expertise.

More specifically, subordinate to the Board, governance of the institution is best understood as the President of the University managing the operations of the institution and setting forth a long-term direction for the University, based on the policies established by the Board. To ensure success, the President, directly or through delegated subordinates, will regularly consult with the students as represented in the Student Government Association, the faculty as represented in the Faculty Senate and the staff as represented in the Staff Senate.

Such shared governance is a system of mutual responsibility in which students, faculty and staff take part in the decision-and-policymaking process through advice and counsel to the President. A structure and ethos of shared governance exist to provide avenues for voices to be heard and represented in ways that establish a sense of mutual respect and collaboration aimed at University improvement and productivity, centered on the mission of advancing the Commonwealth and the students of the University.

A part of shared governance is the primary role of the faculty — particularly at the department, schools and college levels — in the review, development and implementation of the institution’s credit-bearing curriculum. As such, the University’s educational programs must reflect appropriate input and participation of constituencies. Faculty members should have a substantive role in the development and review of academic policies. While educational policy is ultimately determined by the Board, its development is led by the President and is a product of vibrant shared governance.

### **C. Academic Freedom**

The University “is deeply committed to safeguarding academic freedom, which is of transcendent value” for the entire institution.”<sup>13</sup> All members of the University community “must always remain free to inquire, to study and to evaluate, to gain new maturity and understanding; otherwise, our civilization will stagnate and die.”<sup>14</sup> An intellectually vibrant academic community is one that fosters civil dialogue and respectful debate, irrespective of ideology, identity, perspective or point of view.

While all members of the University community have academic freedom, it is particularly important to faculty members. Regardless of tenure status or tenure eligibility, faculty academic freedom covers all classroom speech related to the subject of the course and all scholarly speech related to the faculty member’s area or expertise.<sup>15</sup>

Yet, as sacrosanct as the value of academic freedom is, it is important to also delineate what it is not. In a classroom, faculty members should be free — and must be free — to express their views and perspectives on issues relating to their academic expertise. Formal instruction does not allow for faculty members to impose their personal viewpoints on students or engage in promotion of ideas outside their domains of expertise. Formal instruction is for learning and discussion, not indoctrination.

### **D. All Members of the University Community Have Equal Dignity**

The University follows both the federal and state Constitutions as well as all applicable federal and state laws on nondiscrimination. The University provides equal opportunities for qualified persons in all aspects of institutional operations.

and does not discriminate on the basis of race, color, national origin, ethnic origin, religion, creed, age, physical or mental disability, veteran status, uniformed service, political belief, sex, sexual orientation, gender identity, gender expression, pregnancy, marital status, genetic information, social or economic status or whether the person is a smoker or nonsmoker, as long as the person complies with University regulation concerning smoking.

## E. The University Must Operate with Ethical Principles

Exemplary ethical conduct is critically important. To that end, the President, in consultation with the appropriate shared governance bodies, will develop applicable codes of conduct and promulgate as *Administrative Regulations*.

### 1. The Political Activity

~~The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University resources shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party<sup>†</sup> or of a candidate or candidates for public office. The resources of the University may be used for public forums to which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.~~

~~University resources may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.~~

### 2. Religious Activity

~~<sup>†</sup>"Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS 118.015(1).~~

~~In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University resources shall not be used to advance or inhibit religion.~~

### ~~3.—Tobacco Policy~~

~~Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. The President is delegated authority to promulgate an Administrative Regulation regarding the use of tobacco products. Pursuant to AR 6:5, the University is a tobacco-free campus.~~

### ~~4.—Campus Sales~~

~~Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon University property other than by the regularly authorized stores, dining locations, departments, or divisions of the University are prohibited except upon written permission of the Executive Vice President for Finance and Administration.~~

~~Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.~~

## References and Related Materials

~~KRS 45A, Kentucky Model Procurement Code~~

~~KRS 61.165, Smoking policy for governmental office buildings or workplaces and postsecondary education institutions~~

~~KRS 118.015(1), Definitions~~

~~KRS 164.100, University of~~

~~Kentucky recognized KRS 164.120,~~

~~Colleges maintained~~

~~KRS 164.125, University Programs~~

~~KRS 164.131, Board of Trustees of University of Kentucky—~~

~~Membership—Terms KRS 164.160, Trustees—power to receive and administer revenue and property KRS 164.200, Regulations for~~

~~university—Physical training and discipline of students~~

## Revision History

~~6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/2008, 3/27/2012, 6/11/13, 6/17/2022~~

~~For questions, contact: [Office of Legal Counsel](#)~~decisions and behaviors of members of the University community shall be guided by the core values of integrity, excellence, mutual respect and human dignity, diversity and inclusion, academic freedom, personal and institutional responsibility and accountability, shared governance, a sense of community, work-life sensitivity, civic engagement and social responsibility.

### **F. Supremacy of the Governing Regulations**

Subject to the limitations imposed by the federal and state Constitutions as well as federal and state law, the *Governing Regulations* are the supreme policy of the University.

### **Conclusion and Adoption of these Principles**

The University of Kentucky is a promise, an enduring oath established at the institution's founding in 1865 to advance the Commonwealth that is its namesake.

That promise has never changed but it has necessarily evolved.

The institution has grown, and the needs of the Commonwealth and the world have increased in both scale and complexity.

A multi-faceted mission for the University of Kentucky is now embodied in a commitment to service and engagement that occupies a presence in every county of the state, that extends access to specialty care to more people, that conducts research and ignites discovery into the challenges that most confront communities and in which students are educated in ways that prepare them to thrive in an interdependent, complex world.

The *Governing Regulations* enumerated above and in the pages that follow establish guiding principles — and the basis for clear rules and regulations — for a University



community that continually seeks to inform and enliven that promise, today and into the future.

The Board adopts these principles on this day of in the year two thousand twenty-four and of the University the one hundred and sixtieth.

1 7 U.S.C. §§ 301 et seq.

2 KRS §§ 164.100 et seq.

3 See KRS § 164.131(1)(a).

4 KRS § 164.131(1)(e).

5 KRS § 164.131(1)(e).

6 KRS § 164.131(1)(d). The statute allows removal of an individual Trustee for cause under KRS § 63.080(2); one or more Trustees for non-compliance with statutory requirements concerning membership under KRS § 63.080(3); and the entire appointed board membership for cause under KRS § 63.080(4).

7 1917 *Governing Regulation I* (reprinted in the Board of Trustees Minutes for December 10, 1917).

8 SACSCOC Principle 4.2.b.

9 See KRS § 164.220(1).

10 SACSCOC Principle 5.2.a.

11 *Rationale and Notes for SACSCOC Principle 5.2.a., in SACSCOC RESOURCE MANUAL FOR THE PRINCIPLES OF ACCREDITATION 35* (4th ed. 2024) (alteration in original).

12 *Id.*

13 *Keyishian v. Board of Regents of Univ. of State of New York*, 385 U.S. 589, 603 (1967).

14 *Sweezy v. New Hampshire*, 354 U.S. 234, 250 (1957).

15 See *Meriwether v. Hartop*, 992 F.3d 492, 507 (6th Cir. 2021).

# ~~Governing Regulation II~~

## ~~Governance~~ **GOVERNING REGULATION II — The Board of Trustees**

### ~~A.~~ **Authority of the University Board of Kentucky Trustees**

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## ~~Introduction~~

~~The governance of the University of Kentucky is vested by law in the Board of Trustees (KRS 164.131). Within the limits set by the Federal and State Constitutions and the federal and state laws,\* the Board of Trustees is~~

~~the~~ As the People's Representatives, the Board of Trustees has final authority ~~in~~over all matters ~~affecting the institution and exercises jurisdiction over the institution's~~ of the University including financial, educational; and other policies ~~and its relation with the state and federal governments. This *Governing Regulation* describes the authority, membership, committees, and~~ of the University.<sup>1</sup> In addition, the Board defines and annually evaluates its responsibilities ~~of the Board of Trustees~~ and expectations.

<sup>\*</sup> ~~The Council on Postsecondary Education in Kentucky (KRS 164.020) has powers and duties that relate to the governance of the University of Kentucky.~~

## ~~A. Delegation of Authority~~

- ~~1.—These *Governing Regulations* describe the composition, powers, and duties of the Board of Trustees of the University of Kentucky, as defined by Kentucky Revised Statutes, and establish policies and procedures for the performance of its functions. In these *Governing Regulations*, the Board of Trustees delegates certain responsibilities to the President, the University Senate, the Staff Senate, the Student Government Association, the Graduate Faculty, and the faculties of educational units in order to provide for the responsible and efficient administration of the University and the accomplishment of its goals.~~
- ~~2.—As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the *Administrative Regulations* including the *Human Resources Policies and Procedures* and the *Business Procedures Manual*, to provide interpretation and implementation of these *Governing Regulations*, and of the *Minutes of the Board of Trustees*, and to delineate policies within the sphere of delegated responsibility. Chief administrative officers are authorized to establish unit policies and procedures attendant to their delegated administrative responsibilities.~~
- ~~3.—At an institution-wide level, the University Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University. Within the limits set by the Board of Trustees and the University Senate, the Graduate Faculty is delegated jurisdiction over programs leading to graduate degrees and has the responsibility to safeguard, promote and assist in the development of research in all fields. Within the limits set by the institution-wide policies of the Board of Trustees, the University Senate, and the Graduate Faculty, the respective faculties exercise the governance role of policy-making responsibility for the instructional, research and service programs of their educational units. The University Senate, the Graduate Faculty, and the faculties of educational units are authorized to issue rules concerning the policy and procedure-making responsibilities that are attendant to their delegated educational policy-making role.~~
- ~~4.—Where appropriate, the rules and regulations appearing in the *Administrative Regulations*, *Human Resources Policy and Procedures*, *Business Procedures Manual*, and *University Senate Rules* should refer to the source or sources in these *Governing Regulations* or *Minutes of the Board of Trustees*.~~

## ~~B. Board of Trustees—Membership~~

### ~~1.—Definition~~

~~The Board of Trustees is a body corporate, under the name of Board of Trustees of the University of Kentucky, with the usual corporate powers, and possesses all the immunities, rights, privileges, and franchises usually attaching to the governing bodies of educational institutions. It may receive, hold, and administer, on behalf of the University, subject to the conditions attached, all revenues accruing from endowments, appropriations, allotments, grants or bequests, and all types of property. (KRS 164.160)~~

### ~~2.—Membership~~

~~The Board of Trustees of the University of Kentucky consists of sixteen members appointed by the Governor, two (2) University faculty members who shall have the right to vote on all matters except that of faculty compensation, one (1) University staff employee, and one (1) University student.~~

#### ~~a.—Appointed Members~~

~~The Governor shall make the appointments so as to reflect proportional representation on the Board of the two leading political parties of the Commonwealth based on the state's voter registration and to reflect no less than proportional representation of the minority racial composition of the Commonwealth. Appointments to fill vacancies shall be made for any unexpired terms in the same manner as provided for the original appointments. (KRS 164.131)~~

~~The terms of the appointed members shall be for six (6) years and until their successors are appointed and qualified. Three (3) of the appointments shall be graduates of the University and may include one (1) graduate of the institution who may reside outside the Commonwealth; three (3) shall be representative of agricultural interests; and ten (10) shall be other distinguished citizens representative of the learned professions. Each graduate member is appointed by the Governor from a list of three (3) names submitted by the alumni of the University according to a method prescribed by the Board of Trustees, upon recommendation of the UK Alumni Association, pursuant to KRS 164.131(2)(a); KRS 164.140. The prescribed methods are published in the *Minutes of the Meetings of the Board of Trustees* (May 6, 2003).~~

#### ~~b. Elected Members~~

~~The number of faculty members, staff employees, and student members elected to the Board of Trustees shall not exceed four (4). (KRS 164.131)~~

~~Sixteen Trustees are appointed by the Governor — an elected constitutional officer~~

~~— and confirmed by the state Senate, elected representatives of the People.<sup>2</sup> Four of the 20 Trustees are chosen through democratic elections involving various parts of the University community.<sup>3</sup> To continue accountability after the appointment or election, in certain circumstances, the Governor may remove any Trustee or all appointed Trustees.<sup>4</sup>~~

~~As various parts of the University community must elect four of the 20 Trustees, the President, in consultation with the respective shared governance bodies and with approval of the Board, will issue an *Administrative Regulation* detailing the rules and procedures for such democratic elections.~~

~~(1) The two (2) faculty members representing the University shall be members of the faculty of the rank of assistant professor or above, elected by secret ballot by faculty members of the rank of assistant professor or above.~~

~~In accordance with KRS 164.131(3), faculty members eligible to vote and eligible to serve as elected members of the Board of Trustees shall be those regular, full-time employees conferred with a faculty title and a rank at the level of assistant professor (or its equivalent, librarian III) or above, and who do not have an administrative assignment at or above the level of department chair, and as otherwise defined in *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*.~~

~~The faculty members shall serve for terms of three (3) years and until their successors are elected and qualified. They are eligible for reelection but are ineligible to continue to serve as members of the Board of Trustees if they cease to be members of the faculty. Elections to fill vacancies for any unexpired terms shall be held in the same manner as for the original elections.~~

~~The authority to develop procedures for the election of faculty members to serve as members of the Board of Trustees, in accordance with the provisions of KRS 164.131(3), is hereby delegated to the University Senate.~~

~~(2) — The staff employee representing the University shall be a regular, full-time staff employee as defined in the *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*, excluding the President, Provost, executive vice presidents, vice presidents, academic deans, academic department chairpersons, vice provosts, and equivalent positions. The staff trustee shall represent all University staff employees.~~

~~The staff member shall serve a term of three (3) years and until a successor is elected and qualified. The staff member shall be eligible for reelection, but is ineligible to continue to serve as a member of the Board of Trustees if the staff employee ceases to be an employee of the University. Elections to fill vacancies shall be for any unexpired term and shall be held in the same manner as provided for the original election.~~

The staff trustee shall be elected by secret ballot by the regular staff employees with a 0.75 or greater full-time equivalency (FTE), as defined in the *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*, including the President, Provost, executive vice presidents, vice presidents, academic deans, academic department chairpersons, vice provosts, and equivalent positions.

~~The authority to develop procedures for the election of a staff employee to serve as a member of the Board of Trustees, in accordance with the provisions of KRS 164.131(4), is hereby delegated to the Staff Senate.~~

~~(3) The student member shall be the President of the Student Government Association during the appropriate academic year and may be an out-of-state resident. If the student member does not maintain the position as President or status as a full-time student at any time during that academic year, a special election shall be held to select a full-time student. The authority to develop procedures for the election of a student of the University to serve as a member of the Board of Trustees, in accordance with the provisions of KRS 164.131(5), is hereby delegated to the Student Government Association.~~

#### ~~c. Non-voting Members~~

~~Pursuant to KRS 164.170 and 164.131(1)(e), the Board of Trustees may from time to time designate persons as nonvoting honorary members of the Board of Trustees, with responsibilities and privileges as it may deem appropriate, except for the power to vote.~~

#### ~~d. Removal of Members~~

~~Pursuant to KRS 164.131(1)(d), "Board members may be removed by the Governor under the following circumstances: 1. For cause, pursuant to KRS 63.080(2); or 2. Pursuant to KRS 63.080(3) or (4)."~~

### 3.C. Officers

#### 1. Elections Beginning in 2020, the

~~a. The Chair, Vice Chair, Secretary, the Assistant Secretary/Parliamentarian and the three at-large members of the Executive Committee, and Assistant Secretary of the Board of Trustees shall be elected annually at the second regularly scheduled meeting of by the Board of Trustees in an academic year. In 2019, the Officers, The Chair, Vice Chair, Secretary and three at large Executive Committee shall be elected at the first fall meeting of the Board of Trustees and shall serve until the 2020 election members shall be trustees.~~

#### 2. The Chair

~~b. The Chair of the Board of Trustees shall be limited to no more than four (4) consecutive terms as Chair. In the absence of the Chair, the Vice Chair: (1) presides at over meetings of the Board of Trustees and the Executive Committee:~~

~~; (2) appoints the chair and all members of all Committees, except the Executive Committee and University Athletics~~

~~c. The Secretary keeps the minutes of all meetings, issues notices of meetings, and provides for the publication and distribution of the minutes in accordance with instructions from the Board of Trustees. The Secretary is responsible for the maintenance of an official revised copy of these Governing Regulations and for the publication of revisions. The Assistant Secretary is empowered to perform the duties of the Secretary when the Secretary is not present. The Assistant Secretary need not be a member of the Board of Trustees.~~

## ~~C. Meetings of the Board of Trustees~~

- ~~1. The Board of Trustees shall meet at least quarterly. Special meetings may be called by the Chair or by any three (3) members upon giving ten (10) days' written notice to each member of the Board of~~



~~Trustees. The business to be transacted at special meetings shall be specified in the notice of the meeting. All meetings are to be held on the campus of the University unless otherwise specified by a majority vote of the Board of Trustees. A majority of the voting members of the Board of Trustees constitutes a quorum. (KRS 164.170)~~

~~2.—The Board of Trustees may adjourn any regular or called meeting to any date that it may set for such adjournment. Any meeting of the Board of Trustees, if a quorum is not present, may be adjourned by the members attending to a time when a quorum shall be present.~~

~~3.—The meetings of the Board of Trustees shall be open to the public. The Board of Trustees is required to arrange for a stenographic transcript of each of its meetings to be prepared and filed, to send an agenda for each of the meetings to each member of the Board of Trustees, and to make a copy of the agenda available to the press. (KRS 164.170) For regularly scheduled meetings, the agenda shall be released to the general public at least three (3) full business days prior to the Board meeting. "Business Day" means Monday through Friday, excluding official University holidays. The Board of Trustees and its committees shall operate in compliance with the provisions of the Open Meetings Law. (KRS 61.800-KRS 61.850)~~

~~4.—All necessary expenses incurred by the Trustees in traveling to and from and while attending meetings of the Board of Trustees are designated to be paid out of the funds of the University. (KRS 164.170)~~

~~5.—The order of business at meetings of the Board of Trustees normally is as follows:~~

~~Call to Order~~

~~Roll Call~~

~~Reading and Approval of Minutes with Necessary Modifications~~

~~Chair's Report~~

~~Report of the President~~

~~Consideration of President's Recommendations for Action~~

~~Consideration of President's Discussion Items~~

~~Reports of Committees~~

~~Items for Board Discussion~~

~~Other Business~~

~~Adjournment~~

~~6.—The most recent version of *Robert's Rules of Order* shall be observed in conducting the business of the Board of Trustees except as these may be modified by regulations adopted by the Board of Trustees.~~

## ~~D. Conflicts of Interest of Board Membership~~

~~1.—No employee of the University shall be directly or indirectly interested in any contract with the University for the sale of property, materials, supplies, equipment, or services, with the exception of compensation to the two (2) faculty members and the one (1) staff employee who are members of the Board of Trustees. (KRS 164.131)~~

~~2.—No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (KRS 45A.340(7))~~

~~3.—No member of the Board of Trustees may be held to be a public officer by reason of membership on the Board~~

except as provided in ~~KRS 45A.335~~ for the purpose of ~~KRS 45A.340.~~ (~~KRS 164.150~~)

## ~~E. Standing and Special Committees~~

~~The purpose of standing and special committees is to assist the Board of Trustees in its oversight role by gathering information, discussing, and providing advice on policy proposals prior to their coming before the entire Board of Trustees. Members of the University community and the general public may attend any committee meeting. An individual desiring to address a particular committee or otherwise participate in a committee meeting should contact the committee chair.~~

### 4. ~~Standing Committee~~ General Rules;

a. ~~Unless otherwise provided in this Governing Regulation, membership of standing committees shall include at least five (5) members of~~ (3) serves as spokesperson for the Board of Trustees including the committee chair.

b. ~~Unless otherwise provided in this Governing Regulation, committee members shall be appointed; and~~ (4) performs other duties as assigned by the Board. The Chair of the Board of Trustees is limited to no more than four consecutive terms as Chair.

~~Unless otherwise provided in this Governing Regulation,~~

e. ~~The President, in consultation with~~ the Chair of the Board of Trustees ~~shall select the Chair for each committee from the Trustee members.~~

d. ~~Board of,~~ will appoint the chair and Trustee members ~~may be reappointed to a committee for consecutive terms.~~

### of the University Athletics

e. ~~Any vacancy occurring before the expiration of the term of the appointment shall be filled for the unexpired term.~~

f. ~~A quorum of the Committee members must be present in order to conduct business.~~

### 3. The Vice Chair

In the case of a vacancy or disability of the Chair of the Board of Trustees, the Vice Chair shall exercise the functions of the Chair until the Board of Trustees takes further action.

### 3. Secretary

- ~~g. The Secretary keeps the minutes of all meetings, issues notices of meetings Committee Reports shall be posted online within 72 hours after the conclusion of Committee meetings.~~

#### ~~2. Standing Committees~~

and provides for the publication and distribution of the minutes.

### 4. Assistant Secretary/Parliamentarian

When the Secretary is absent, the Assistant Secretary/Parliamentarian may perform the duties of the Secretary. The Assistant Secretary/Parliamentarian need not be a member of the Board.

### ~~a.D.~~ Executive Committee

#### 1. Membership

- ~~(1) The Board of Trustees annually elects an Executive Committee of five (5) members that has the powers that the Board of Trustees delegates to it as prescribed in KRS 164.190. This election shall be held at the second fall meeting of the Board of Trustees. Vacancies may be filled at any meeting of the Board of Trustees. The Chair and the Vice Chair of the Board of Trustees shall be two (2) of the five (5) members. The Chair of the Board of Trustees shall also serve as Chair of the Executive Committee.~~

Executive Committee consists of the Chair, Vice Chair and three Trustee members elected by the Board of Trustees.5 The Secretary is an ex officio non-voting member.

#### 2. Responsibilities

- ~~(2) The Executive Committee:~~

~~(a) In general, (1) exercises oversight of the financial and business interests of the University and possesses the same powers as the Board of Trustees during the periods between meetings of the full Board of Trustees; (2) serves as the performance review committee for the President; (3) provides recommendations on policy matters concerning shared governance; and (4) serves in an advisory capacity to the President on regulations and policies, institutional compliance and accountability.~~

- ~~(b) Serves as a hearing panel in the event of a faculty member, staff employee, or student appeal coming to the Board of Trustees;~~

~~Serves as the performance review committee for the President. The~~

#### 3. Meetings

- ~~(c) Meetings of the Executive Committee shall involve the entire Board of Trustees in this evaluation and shall also solicit input from the executive committees or executive councils of the University Senate, Staff Senate, and Student Government Association.~~

~~(d) Serves in an advisory capacity to the President on regulations and policies, institutional compliance, and accountability.~~

~~(3) Meetings~~ may be held as necessary at the call of the Chair. ~~The Secretary of the Board of Trustees is the ex officio Secretary of the Executive Committee.~~ The President may attend all meetings; unless the Executive Committee moves into closed session under the appropriate provisions of the state's Open Meetings Act<sup>6</sup>, at which time attendance can be limited to the Trustees of a committee along with those designated to attend who may have business before that committee.<sup>7</sup>

~~The~~

4. Ratification of Actions of the Executive Committee ~~is required~~

(4) The Board of Trustees requires the Executive Committee to submit to the Board of Trustees at each meeting, for the ~~latter's Board's~~ consideration and approval, a complete record of the proceedings of the Executive Committee. The authority of the Board of Trustees to amend the action of the Executive Committee does not extend to the rejection of any valid or authenticated expenditure of money by the Executive Committee ~~(KRS 164.190).~~

## E. Meetings of the Board of Trustees

### 1. Frequency

The Board of Trustees shall meet at least quarterly. The Chair or any three Trustees acting together may call special meetings by giving 10 days' written notice to each Trustee. The notice of the special meeting will specify the subject of the special meeting.<sup>8</sup>

A majority of the Trustees constitutes a quorum.<sup>9</sup>

### 2. Public Meetings

The meetings of the Board shall be open to the public.

The Board will arrange for a transcript of each of its meetings, send an agenda for each of the meetings to each Trustee and make a copy of the agenda available to the public.

For regularly scheduled meetings, the agenda shall be released to the public at least three full business days prior to the Board meeting.

The Board and its Committees will follow the Kentucky Open Meetings Act.<sup>10</sup>

### 3. Expenses

The University shall pay all necessary expenses incurred by the Trustees in traveling to and from and while attending meetings of the Board.

### 4. Agenda

The Chair shall specify the order of business at Board meetings.

### 5. Parliamentary Authority

Except where the Board has adopted different rules, the Board will follow the most recent version of *Robert's Rules of Order, Newly Revised* while conducting the business.

## F. Conflicts of Interest of Board Membership

All Trustees must comply with the Kentucky Revised Statutes concerning conflicts of interest. On an annual basis, all Trustees will execute a statement attesting to their compliance with the Kentucky Revised Statutes.

## G. Standing and Special Committees

The purpose of standing and special committees is to help the Board in its oversight role by gathering information, discussing and providing advice on policy proposals prior to their coming before the entire Board. Members of the University community and the public may attend any committee meeting, unless a committee moves into closed session under the appropriate provisions of the state's Open Meetings Act 11, at which time attendance can be limited to the Trustees of a committee along with those designated to attend who may have business before that committee.<sup>12</sup> Membership of standing committees is at least five Trustees, including the committee chair.

### b.1. Academic and Student Affairs Committee

This Committee:

~~(1) Reviews~~ (1) reviews recommendations on policy matters ~~pertaining to about~~ the academic mission of the University in ~~instruction education~~, research, ~~and public service~~ and care as well as to policy matters concerning academic freedom; ~~and tenure, and shared governance;~~

~~Reviews;~~ (2) reviews recommendations regarding undergraduate admission with the President being responsible for the implementation of the Board's decision; (3) ~~new~~ academic ~~degree-~~program proposals from the President to ensure that a) the;

~~(2) (4) reviews~~ academic programs are consistent with the University's mission; b) resources are available to achieve academic priorities as set forth in the strategic plan; c) academic programs are appropriate for its student needs; and d) the University has a system in place for assessing the effectiveness of its academic programs;

~~(3) Reviews new program and~~ degree-program closure proposals ~~and changes in the academic units or in the academic organization to ensure these proposals or changes will effectively carry out the academic mission;~~

~~(4) Reviews;~~ (5) reviews the list of candidates for academic degrees ~~approved~~ recommended by the faculty of the University through the University Senate for submission to the Board of Trustees;

~~(5) Reviews recommendations regarding revisions of the Code of Student Conduct;~~

(6) ~~Reviews~~ respective colleges; and (6) reviews recommendations concerning the general welfare of students and the adoption of rules, procedures, rights; and responsibilities governing non-academic relationships between the University and its students; ~~and.~~

~~(7) Provides needed information to the Board of Trustees.~~

### e.2. Audit and Compliance Committee

This Committee:

- (1) ~~Reviews~~ (1) reviews recommendations and appoints the external auditors;
- (2) ~~Receives~~ (2) receives and reviews the annual financial and other reports from the external auditors and reports on such to the Board ~~of Trustees~~; and
- (3) ~~Receives~~ (3) receives and reviews reports from persons with responsibility for accountability and compliance on the University's system of internal controls and compliance with applicable laws, regulations, and University policy, ~~and reports on such to the Board of Trustees.~~



### ~~d.3.~~ 3. Finance Committee

This Committee:

(1) Ensures (1) ensures the financial stability and long-term economic health of the University by ~~monitoring~~ checking the financial operations of the University and its affiliated corporations and making appropriate recommendations to the Board ~~of Trustees to ensure achievement of the University's mission;~~; (2) maintains

Consistent with KRS 164A.550 through 164A.630, maintains

~~(2) oversight responsibility for the financial management of the University in the areas of accounting, auditing, payroll, purchasing, capital construction, real property, and affiliated corporations; and affiliated corporations; (3) oversees the budgets of the University by reviewing and recommending to the Board on the annual operating budgets; (4) exercises oversight of the following aspects of the University's retirement plans: retirement ages and overall contribution; and (5) approves the University processes for designation and disposal of surplus personal property.~~

~~(3) Oversees the budgets of the University by reviewing and recommending to the Board of Trustees on the annual operating budgets;~~

#### Ensures

~~(4) Additionally, this Committee ensures that accurate and complete financial records are maintained by reviewing and recommending to the Board of Trustees on:~~

~~(a) (1) annual financial reports;~~

~~(b) (2) interim financial reports;~~

~~(c) (3) long-term debt obligations;~~

~~(d) (4) gifts and pledges to the University of \$1,000,000 or more, if payable over five (5) years or less;~~

~~(e) (5) capital projects of \$1,000,000 or more;~~

~~(f) (6) leases over greater than \$200,000 per year;~~

~~(g) (7) disposition of property;~~

~~(h) (8) sale of assets; and~~

~~(i) (9) financial transactions not provided for in the annual operating budget.~~

#### e.4. **Human Resources and University Relations Committee**

This ~~committee:~~

~~(1) Reviews Committees: (1) reviews recommendations to the Board of Trustees about policies regarding policies pertaining to employee benefits, rights, and privileges requiring Board of Trustees approval;~~

~~(2) Reviews (2) reviews recommendations relating to the economic, social, and public policy environments within which the University operates that directly affect the University institution; and~~

~~(3) Reviews (3) reviews policies or policy proposals regarding marketing and development as well as public, governmental, and alumni relations.~~

#### f.5. **Investment Committee**

~~Under delegation from the Board of Trustees, and consistent with KRS 164A.550 through 164A.630, the Investment~~

~~(4) This Committee is responsible for review and oversight of the endowment investment programs of the University and its affiliated corporations, and entities.13 These responsibilities include: (1) formulating and reviewing investment policies; (2) appointing, monitoring and evaluating investment managers and consultants; and~~

~~(a) formulating and reviewing investment policies;~~

~~(b) appointing, monitoring and evaluating investment managers and consultants; and~~

(e) (3) reviewing and approving plans for the general management of the endowment funds of the University.

(2) The membership of

~~In addition to the Committee shall be composed of five (5) voting Trustee members and Trustees, this Committee may have up to five (5) non-voting Community Advisory members Members to assist aid it in its functions by providing specialized advice and support. Said The President, in consultation with the Board Chair, will appoint the Community Advisory Members shall be selected on the basis of their expertise in such areas as investment management and finance, and appointed for a three-year term-. The Community Members may be reappointed. The membership of the Committee, including the Chair, shall be appointed by the Chair of the Board of Trustees in consultation with the President. The initial Trustee member appointments to the Committee shall be staggered terms in the following manner: two (2) members for three (3) years, two (2) members for four (4) years, and one (1) member for five (5) years. Trustee members appointed thereafter shall Advisory Members will serve for a three-year term term and may be reappointed.~~

~~(3) The Investment Committee Chair reports to the Board of Trustees after each meeting of the committee on the performance results of endowment investments. Policies of the committee are implemented by the Office of the Treasurer in carrying out the day-to-day operations of the University's endowment funds.~~

#### **g.6. Nominating Committee**

This committee:

~~(1) Nominates Committee: (1) nominates officers of the Board of and at-large Trustees and members of the Executive Committee; and~~

~~Reviews (2) reviews and recommends the appointment of trustees Trustees~~

(2) to serve on the boards and committees of the University and its affiliated ~~entities~~corporations.

#### h.7. University Athletics Committee

~~The NCAA requires a member institution's chief executive officer to have ultimate responsibility~~

~~(1) While both the National Collegiate Athletic Association and final~~ the University's accrediting body require that the President has sole authority for ~~the conduct of the intercollegiate athletics program. In addition, the Southern Association of Colleges, and Schools (SACS) requires an institution's chief executive officer to have ultimate responsibility for, and exercise appropriate~~ exercises proper administrative and fiscal control over, the intercollegiate athletics program. ~~To assist the President in carrying out, this responsibility, the Athletics Committee is responsible for:~~

~~(a) Providing~~ assists the President by: (1) providing counsel to the President concerning matters or activities of the Athletics Department;

~~(b) Reviewing and~~ (2) reviewing the Athletics Department's annual budget and audit reports, major expenditures and acquisitions; and construction of facilities if the cost is expected to exceed \$~~600~~1,000; and,000.

~~Providing needed information~~

~~(c) In addition~~ to the ~~Board of five voting~~ Trustees:

~~(2) The membership of, the Committee shall be composed of five (5) voting Trustee members and up to three (3) non-voting Community Advisory members. In addition, include~~ the Faculty Athletics Representative ~~shall serve~~ as an ex officio, non-voting member. ~~The membership of the Athletics Committee, including the Chair, shall be appointed and up to three Community Advisory Members to aid it in its functions by the providing specialized advice and support. The~~ President, in consultation with the ~~Chair of the Board of Trustees. The initial Board member appointments to the Athletics Committee shall be staggered terms in the following manner: two (2) members Board Chair, will appoint the Community Advisory Members. The Community Advisory Members will serve for three (3) years, two (2) members for four (4) years, and one (1) member for five (5) years. Board members appointed thereafter shall serve for a~~ three-year term and may be reappointed.

~~(3) The University Athletics Committee shall provide to the full Board a brief update at each Board meeting if the Committee has met.~~

### 3.8. University Health Care Committee

~~(1) This Committee:~~

~~(a) Serves (1) serves~~ as the governing body and governing authority to manage and operate the ~~University Hospitals~~ University's academic health system in accordance with the Conditions of Participation promulgated by the Centers for Medicare and Medicaid Services and with ~~the~~ all applicable laws and regulations ~~governing the operations;~~ and ~~services of hospitals in the Commonwealth of Kentucky; and~~

~~(b) Oversees (2) oversees~~ the University's clinical enterprise, including management oversight for the development of policies, rules, and regulations for the governance of the ~~University Hospitals and clinical enterprise~~ University's academic health system.

~~(2) Policies of~~ In addition to the ~~Committee are implemented by the Executive Vice President for Health Affairs in carrying out the day-to-day operations of the University Hospitals and clinical enterprise.~~

~~(3) The membership of the Committee shall be composed of five (5) voting Trustee members, seven~~

~~(7) non-voting Advisory Members, and Trustees, the Committee may have up to seven (7) five non-voting Community Advisory Members. Each member shall be appointed by the Chair of to aid it in its functions by providing specialized advice and support. The President, in consultation with~~ the Board ~~of Trustees, acting upon recommendation of the President of the University. The initial Board of Trustee member appointments to the University Health Care Committee shall be for staggered terms in the following manner: two members for three years, two members for four years and one member for five years. Board members appointed thereafter shall~~ Chair, will appoint the Community Advisory Members. The Community Advisory Members will serve for a three-year ~~terms~~ term and may be reappointed.

~~(4) The University Health Care Committee may create sub-committees and shall create committee rules to guide their governance consistent with The Joint Commission. (See University Health Care Committee Operating Rules, approved by the Board of Trustees December 7, 2010)~~

~~(5) The University Health Care Committee shall provide to the full Board a brief update at each meeting if the Committee has met.~~

### 3.9. Special Committees

~~Special~~ The Chair may establish and appoint special committees ~~may be established and appointed~~ at any time ~~by the Chair of the Board of Trustees and~~ and with such charge as the ~~Board of Trustees~~ Chair may determine. Special committees shall ~~carry out~~ fulfill their duties

as specified and report to the Board ~~of Trustees~~. Such committees ~~shall~~ will function until ~~discharged: their final report~~. Membership ~~shall~~ must include ~~trustees~~ Trustees and may also include persons who are not ~~Board of Trustees members, when confirmed by Board~~.

## ~~F. Powers and Responsibilities~~

~~The powers and responsibilities of the Board of Trustees include the following:~~

- ~~1. Periodically evaluate the institution's progress in implementing its missions, goals, and objectives to conform to the strategic agenda. (KRS 164.131)~~

H. ~~Make such bylaws, rules, and regulations consistent~~ Appointments Requiring Action by the Board

**1. Appointment of the President**

~~2.—The Board — in consultation with KRS Chapter 164 as it deems proper. (KRS 164.180)~~

- ~~3.—Establish proper regulations for the governance of the University and the physical training, military or otherwise, of the students. The Board may authorize the suspension and dismissal of students for neglect or violation of the regulations or for other conduct prejudicial to the character and welfare of the University. (KRS 164.200)~~
- ~~4.—Determine the colleges, schools, divisions, departments, bureaus, and offices which shall comprise the University within the scope of the Acts of Congress approved July 2, 1862, and Acts supplementary thereto, and the relation which each division shall sustain to each other division and to the whole. It may devise, allot, and arrange the distribution of divisions with the designation appropriate for each, and devise the means required for their effective instruction, administration, and governance. (KRS 164.210)~~
- ~~5.—Appoint a President, professors, assistants, tutors, and other personnel and determine the compensation, duties, and official relations of each. In the appointment of presidents, professors, or instructors no preference shall be shown to any religious denomination. The Board is required to provide compensation for all positions created and filled by the Board of Trustees. The Board may provide for employee retirement benefits and such other employee benefits as are related to the respective employments and services furnished. Retirement plans may include, but without limitation, the retirement ages, the benefits of employees including group insurance, annuities, establishment of a trust fund or funds; and, the amounts to be paid or contributed by employees and the amounts to be paid or contributed by the University of Kentucky and other appropriate terms and provisions with respect thereto. (KRS 164.220)~~
- ~~6.—Exercise power over and control of appointments, qualifications, salaries, and compensation payable out of the State Treasury or otherwise, promotions and official relations of all employees of the University of Kentucky, as provided in KRS 164.220, and, subject to any restrictions imposed by general law, the retirement ages and benefits of such employees shall be under the exclusive jurisdiction of the Board of Trustees of the University of Kentucky, which shall be an independent agency and instrumentality of [faculty, staff, alumni and leaders throughout](#) the Commonwealth. (KRS 164.225)~~
- ~~7.—Suspend or remove any of the officers, teachers, professors, or agents that it is authorized to appoint, except that no President, professor, or teacher may be removed except for incompetence, neglect of or refusal to perform duties, or for immoral conduct, and then only after ten (10) days' notice in writing stating the nature of the charges preferred, and after the individual has been given an opportunity to make defense before the Board of Trustees by counsel or otherwise and to introduce testimony which shall be heard and determined by the Board of Trustees. (KRS 164.230)~~
- ~~8.—Grant degrees to graduates of the University, prescribe [and the nation — shall appoint a President.14](#) [The Board will determine the President's compensation and appropriate terms and conditions](#) for the award of honorary degrees, and confer such honorary degrees, upon the recommendation of the faculty of the University, as it deems proper. (KRS 164.240)~~
- ~~9.—Make a full report to the General Assembly, within the first month of each even-numbered year regular session, of the condition and operation of the University since the date of the previous report, with such recommendations concerning the University as are deemed necessary. (KRS 164.250)~~
- ~~10.—Acquire additional lands or other property or material for the purpose of expanding its plant and extending its usefulness. When unable to contract with the owner of land or other property or material necessary for the purposes of the University, it may acquire the same by condemnation proceedings in the manner provided in KRS 416.010 to 416.080. (KRS 164.260)~~
- ~~11.—Dispose of real estate held by the Commonwealth for the use or benefit of the University or the Kentucky Agricultural Experiment Station as authorized in KRS 164.270 and KRS 45.360.~~



12. ~~Define and regularly evaluate the Board's responsibilities and~~ of employment including performance expectations. The ~~self-evaluation~~ Board shall ~~be conducted~~ annually. ~~(Southern Association of colleges and Schools Commission on Colleges, Standard 4.2.g, Board self-evaluation)~~ evaluate the President.

## 2. Academic Appointments

The Board, acting upon the recommendation of the President, shall take final University action on all appointments, reappointments and promotions of faculty members to positions which involve: (a) an actual or equivalent academic rank of associate professor or professor; or (b) tenure.

### ~~G.I. Petitions to Address the Board of Trustees~~

~~The purpose of this section is to provide a standard process for members of the University community and the general public to address the Board of Trustees on matters relevant to the University. This process provides for reasonable access to the Board of Trustees, while also preserving the Board's orderly business operations.~~

~~The procedures established by this regulation do not supersede Governing Regulations or Administrative Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.~~

#### ~~1. Petitions~~

- ~~a.—An individual desiring to address the Board of Trustees shall submit a written petition to the Chair of the Board of Trustees through the Office of the President at least two (2) full business days prior to a scheduled meeting of the full Board. The petition shall describe the subject matter and the rationale for addressing the Board, and shall be submitted on the form (Petition to Address the Board of Trustees) attached as Appendix I to this regulation.~~

~~Petitions are available in the Office of the President, 101 Main Building, Lexington KY 40506-0032, or on-line at <http://www.uky.edu/Trustees/petition.htm>, and may be submitted in hardcopy or electronically. In order to be considered, any petition to address the Board of Trustees shall be submitted in accordance with this regulation and shall contain all required information. The Office of the President is responsible for forwarding to the Board Chair all petitions submitted in accordance with this regulation.~~

- ~~b.—The Chair, who may consult with the President, shall determine if the subject matter of the petition is relevant to a pending or future agenda item, or deemed essential information necessary for the Board to fulfill its statutory responsibilities. If the Chair determines that the subject is relevant or the information is essential, the Chair shall:~~
- ~~(1) Approve the petition to address the Board and ask that the petitioner be so informed; or~~
  - ~~(2) Refer the petition to an appropriate committee of the Board and ask that the petitioner be informed of the Committee's meeting time and location.~~
- ~~c.—The Committee to which a petition is referred shall review the merits of the petition to address the Board and shall take such action as it deems appropriate.~~
- ~~d.—The list of petitioners requesting to address the Board of Trustees, along with the disposition of each petition, shall be made available immediately prior to each Board meeting at the meeting location.~~
- ~~e.—The Chair of the Board of Trustees shall provide a report during the full Board meeting on the number of petitions to address the Board received, as well as the disposition of said petitions.~~

~~f.—Prior to acting on an item or issue, the full Board shall hear approved petitioners who are present and prepared to address the Board when called to appear.~~

~~g.—A record shall be kept indicating the petitioner's name, the subject matter, and action taken on each petition to address the Board.~~

## ~~2. Limitations~~

~~The Chair of the Board of Trustees may~~  
Any person may file a petition to address the Board. Such petitions must be limited to subjects on the Board's meeting agenda.

The Chair, in the Chair's sole discretion, decides whether the petition is related to the Board's meeting agenda.

a. The Chair, in consultation with the President, will establish reasonable and appropriate limitations on the number of petitioners who may address the Board at each meeting and the time ~~permitted~~allowed for each address.

## J. Amendment of the Governing Regulations

~~b. Any~~ In the event of a substantial change to an action item, or the addition of an action item to the Board agenda, the Chair may, in his or her discretion, accept a petition(s) received outside the procedures and timelines established by this Governing Regulation:

~~c. The Chair of a Committee may establish reasonable and appropriate limitations on the number of petitioners who may address or participate in a committee meeting and the time permitted for each address.~~

## ~~References and Related Materials~~

~~Kentucky Revised Statutes:~~

~~45A.335, Definitions for terms used in KRS 45A.330~~

~~to 45A.340 45A.340, Conflicts of interest of public~~

~~officers and employees 45.360, Finance and~~

~~Administration Cabinet — Powers and duties 61.800,~~

~~Legislative statement of policy~~

~~61.850, Construction~~

~~164.131, Board of Trustees of University of Kentucky —~~

~~Membership — Terms 164.140, Selection of alumni trustees~~

~~164.160, Trustees constitute body corporate -- Power to receive and administer revenue and property 164.170, Meetings of board -- Quorum --~~ Trustee, the President or any shared governance body — through the President

— may propose an amendment to the *Governing Regulations*. Each Governing Regulation should be reviewed, at a minimum, of every five years.

If the Board approves the proposed amendment, the Secretary will send the proposed amendment to the President and all shared governance bodies for review and feedback. This review and feedback period will last at least 30 days.

At the end of the review and feedback period, the Board will consider the proposed amendment again. The Board's actions, including any alterations to the original proposed amendment because of the review and feedback period, is final.

Any amendments adopted by the Board become effective at once unless the Board specifies a different effective date.

1 See, e.g., KRS § 164.165 (Board, as University of Kentucky, has authority to operate a printing plant); KRS § 164.200 (Board has authority to establish proper regulations for government of University and physical training, suspension, and dismissal of students); KRS § 164.210 (Board has authority to determine colleges, schools, divisions, departments, bureaus, and offices which comprise the University as a land-grant institution, as well as relationship of the divisions to one another and the University and all other acts needful for welfare of institution); KRS § 164.220 (Board has authority to appoint and determine compensation, duties and official relations of president, professors, assistants, tutors, and other personnel); KRS § 164.225 (Board has exclusive authority over appointments, qualifications, salaries, compensation, promotions, and official relationships of all employees of institution); KRS § 164.230 (Board has “full power” to suspend or remove officers, teachers, and professors for cause, as well as other agents, generally); KRS § 164.260 (Board has authority to acquire additional land, property, and material for institution); and KRS § 164.270 (Board has authority to sell certain real estate with approval of Governor).

2 KRS § 164.131.

3 KRS § 164.131(1)(e).

4 KRS § 164.131(1)(d). The statute allows removal of an individual member for cause under KRS § 63.080(2); one or more members for non-compliance with statutory requirements concerning membership under KRS § 63.080(3); and the entire appointed board membership for cause under KRS § 63.080(4).

5 KRS § 164.190.

6 KRS §§ 61.800 et seq.

7 KRS § 61.810.

8 KRS § 164.170.

9 KRS § 164.170.

10 KRS §§ 61.800 et seq.

11 KRS §§ 61.800 et seq.

12 KRS § 61.810.

13 KRS §§ 164A.550 et seq.

14 KRS § 164.220(1) ~~Expenses~~ — Public character

~~164.180, Officers of board — Bylaws~~

~~164.190, Executive committee~~

~~164.200, Regulations for university — Physical training and discipline of students~~

~~164.210, Colleges, departments, and bureaus determined by trustees~~

~~164.220, Appointment, salaries and retirement benefits of university personnel~~

~~164.240, Degrees granted by trustees~~

~~164.250, Report to legislature 164.270 Sale of realty — When authorized~~

~~164.270, Sale of realty — When authorized~~

~~164A.550, Definitions for KRS 164A.555 to 164A.630~~

~~164A.630, Statutes binding the board~~

~~416.010, Institution of condemnation action by railroad~~

~~416.080, When company entitled to possession of condemned property~~

6/11/2002, 9/17/2002, 10/10/2006, 10/16/2007, 6/17/2008, 3/29/2011, 9/13/2011, 12/13/2011, 6/19/2012, 12/11/2012, 1/29/2013, 6/11/2013, 7/1/2013 (approved 3/19/2013), 10/26/13, 9/11/2015, 9/9/2016, 2/22/2019, 4/30/2019, 12/15/2020, 6/17/2022

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



# Appendix I

## Petition to Address the Board of Trustees University of Kentucky

~~Petitions to address the Board may be made by completing and submitting this form to the Office of the President no later than two (2) full business days before the start of the meeting (e.g., for a Tuesday, 1:00 p.m. meeting, petitions must be received by Friday at 1:00 p.m.). To ensure the proper recognition of speakers, no change in the original presenter may be made, except possibly as determined by the Board Chair or a Board Committee. For a complete list of guidelines, see GR II, *Governance of the University of Kentucky*.~~

### INFORMATION

~~(Please~~

~~type or print.) **Contact Information (All fields must  
be completed)\***~~

~~Name: \_\_\_\_\_ Telephone Number:  
\_\_\_\_\_~~

~~E-Mail: \_\_\_\_\_ Mailing Address:  
\_\_\_\_\_~~

~~**\*YOU MUST PROVIDE A TELEPHONE NUMBER AND EMAIL  
ADDRESS IN ORDER FOR YOUR REQUEST TO BE CONSIDERED.**~~

### University Relationship

~~Relationship to the University (please check the most appropriate category):  
 Student  Faculty  Staff  Alumni  Other (Please specify)  
\_\_\_\_\_~~

~~Name of Group (if applicable):  
\_\_\_\_\_  
\_\_\_\_\_~~

### Topic

~~Topic on which you wish to speak:~~

---

---

Please indicate if you will speak  pro  con or

~~neutrally on this topic. Briefly summarize your proposed address to the board: (maximum 1000 characters) Have you contacted any~~

~~University units about this topic previously?~~

~~Yes  No~~

~~If yes, list the units and the action taken by each office: (maximum 300 characters)~~

*The University of Kentucky is committed to providing equal opportunity for participation in all programs, services, and activities. Accommodations for persons with disabilities may be requested by contacting the Office of the President within 24 hours of the meeting. Requests received after this date will be honored whenever possible.*

Office  
of the  
President  
101  
Main  
Building  
Lexington, KY 40506

Phone: (859) 257-1704 Fax: (859) 257-1760 E-mail: [akhisel@uky.edu](mailto:akhisel@uky.edu)



# Governing Regulation, ~~Part III~~

~~— The President of the University of Kentucky~~

## Introduction

~~Pursuant to KRS 164.220, the Board of Trustees is vested with authority to appoint a president for the University. This *Governing Regulation* establishes the authority and responsibilities of the President.~~

### A. Appointment and Evaluation of the President

~~The Board — in consultation with students, faculty, staff, alumni and leaders throughout the Commonwealth and the nation — shall appoint a President ~~is~~. 1 The Board shall set the President's compensation and appropriate terms and conditions of employment including performance expectations. The Board shall annually evaluate the President.~~

### B. Authority of the President

~~The University is a complex institution, making it necessary for the Board to delegate administrative authority for day-to-day operations to the President. The President will further delegate some administrative authority to subordinates.~~

~~The President is the chief executive officer of the University and has full authority and responsibility over ~~theits~~ administration ~~of the academic, athletic, administrative, and financial operations of the University~~. It is the duty of the President to make recommendations relating to the general policies of the institution ~~and to the maintenance of coordination among its several functions~~. It is ~~also~~ the President's duty, ~~of the President~~ directly — or through the ~~various University officers, President's delegates~~ — to supervise and administer all phases of the ~~University's operations, both business and academic, including all departments, divisions, and colleges, and University and~~ to perform all other ~~administrative~~ functions; ~~whether expressly enumerated herein or not~~, necessary ~~or appropriate~~ for the ~~effective~~ ~~successful~~ operation of the ~~University~~ ~~institution~~.~~

## ~~A. Authority and Responsibilities~~

~~1.—Administrative Officers, Faculty and Staff, Committees and Councils~~

~~All administrative officers, including but not limited to the Provost, executive vice presidents, vice presidents, deans, directors, and other subordinate officers, shall be subject to the supervision and direction of the President.~~

~~The President may delegate any of the President's assigned authorities or responsibilities to any faculty member or staff employee of the University. The President shall, however, have the prior consent of the Board of Trustees before delegating major areas of authority or responsibility.~~

By virtue of the Board's delegation, the President has the authority to: (1) appoint a President's cabinet and all employees subordinate to the President's cabinet; (2) take all measures necessary to comply with state and federal law as well as the requirements of all accrediting bodies; (3) promulgate and implement *Administrative Regulations*; (4) consult with the Student Government Association, Staff Senate and Faculty Senate on matters affecting the University; (5) appoint committees and work groups to provide recommendations to the President; (6) develop a proposed institutional budget for approval by the Board; (7) determine the University's position on matters pending before governmental bodies and agencies; (8) speak for — or designate someone to speak for — the University in all external and internal communications; (9) authorize the commencement of litigation and settlement of litigation as well as any appeal or effort to seek discretionary review; and (10) take any other action necessary and proper to implement the Board's policies.

The President has the authority to

~~The President may utilize subordinate administrative officers as appropriate. The President may appoint, or have appointed, temporary or standing advisory or administrative committees and, with the approval of the Board of Trustees, may establish academic and/or administrative councils.~~

~~2.—University Senate and Staff Senate~~

~~The President is Chair of the University Senate and an ex-officio member of the Staff Senate and of the various college faculties. The President may call meetings of the University Senate, the Staff Senate, the University Assembly, or any college faculty. The President may be asked to address a meeting of the University Senate, the Staff Senate, or a college faculty. (GR IV & GR V)~~

### 3.—External Relations

~~Subject to the regulations of the Board of Trustees, the President is the official spokesperson for the University before all international, federal, state, and local government offices, boards, and agencies and is the non-voting representative of the University on the Council on Postsecondary Education.~~

### 4.—Budget

~~The President is responsible for the preparation of the annual budget for approval by the Board of Trustees and for the administration of the annual budget after approval by the Board of Trustees. In the administration of the annual budget, the President shall exercise authority delegated by the Board of Trustees for the transfer of funds within major fund groups, provided that all such transfers of funds shall be reported to the Board of Trustees.~~

### 5.—Communications

~~The President serves as the official medium of communication between the Board of Trustees and the University Senate, Staff Senate, Student Government Association, administrative officers, individual members of the faculty and staff employees, student organizations, and students. In this connection it is the President's responsibility to transmit to the Board of Trustees all formal communications from the University Senate, the Staff Senate, and the Student Government Association along with the viewpoints of the body submitting a communication, including any minority opinions, and the President's own recommendations for action.~~

### 6.—Regulations and Policies

~~The President is responsible for fostering and promoting education, research and creative work, and service and health care, as the primary functions of the University. In this connection the President may make policy recommendations to the Board of Trustees and the University Senate, which are recognized as the primary educational policy-forming agencies of the University. (KRS 164.180; KRS 164.200; GR IV)~~

~~The President must, of necessity, in the day-to-day direction of University affairs, interpret existing policies and, when necessary, establish new policy with respect to academic, administrative and financial matters. While responsible for the enforcement of the *Governing Regulations and Administrative Regulations*. The President's interpretation is binding on all members of the University community, unless otherwise prescribed by Board.~~

~~The President of the Board of Trustees and the *University Senate Rules*, the President also shall provide for the application of these rules and regulations to individual cases. Under~~

~~extraordinary circumstances, and with written justification to the University Senate through the University Senate Council, the President may suspend a rule of the University Senate in a particular case; however, under no circumstance may the President~~ does not have the authority to suspend rules concerning admission ~~and~~ or the number of credits and quality points required for graduation.

~~7. Vehicle Traffic and Parking~~

~~The President is responsible for the development and enforcement of regulations for the control of vehicle traffic and parking on University property. For this purpose, University property is defined as all real property owned, used, or occupied by the University. (KRS 164.975)~~

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~~B.C.~~ B.C. **Vacancy or Disability of the President**

In ~~the event~~case of a vacancy ~~in the Office~~ of the President or disability of the President, the Provost shall exercise the functions of the President ~~in the absence of the appointment of an interim President by the Board of Trustees. If the Board of Trustees finds it desirable to appoint an interim President, it shall seek advice~~until the Board of Trustees takes further action.

~~from a committee composed of representatives of Board of Trustees members, faculty members, staff employees, and students.~~

## ~~References and Related Materials~~

~~KRS 164.180, Officers of board -- Bylaws~~

~~KRS 164.200, Regulations for university -- Physical training and~~

~~discipline of students KRS 164.220, Appointment, salaries and~~

~~retirement benefits of university personnel. KRS 164.975, Regulation~~

~~of the use of educational property~~

~~GR Part IV, The~~

~~University Senate~~

~~GR Part V, The Staff~~

~~Senate~~

### ~~Revision History~~

~~6/14/2005, 3/27/2012~~

~~For archive versions contact: [Office of Legal Counsel](#)~~

~~[1 KRS § 164.220\(1\)](#).~~





UNIVERSITY OF  
**KENTUCKY**  
Regulations

**Governing Regulation, Part IV**

Responsible Office: Board of Trustees Date

Effective: 3/27/2012

Supersedes Version: 6/14/2005

**Governing Regulation, Part IV — The University Senate Faculty's Primary Responsibility for the Credit-Bearing Curriculum**

## Major Topics

[Membership](#)

[Officers, Committees, and Councils of the University Senate](#)

[University Senate Functions](#)

## Introduction

This

Subject to the approval of the Board and in keeping with the shared governance principles established in these ~~Governing Regulation describes the composition, authority, Regulations, the faculty has primary responsibility for the content, quality and functions of the University Senate effectiveness of the credit-bearing curriculum.~~1 Because faculty members at the University of Kentucky.

### A. Membership

~~The University Senate shall be composed of both elected department, school and ex-officio members.~~

~~The ninety-four (94) elected faculty shall be full-time faculty elected from and by the college levels have the greatest expertise as to what is needed within respective college faculties. The elected disciplines, these faculty representatives in the University Senate have the authority assigned to "the faculty of the University" under KRS 164.240 to recommend members should make recommendations to the Board of Trustees the conferral of earned degrees from the University and the conditions for and award of honorary degrees. The University Senate membership, composed of both elected and ex-officio members, is authorized to perform all other functions delegated by the Board of Trustees to the University Senate.~~

~~The University student body shall be represented by the student senators, one elected from and by the full-time student body of each college. The one elected emeritus faculty member shall be elected by and represent the University of Kentucky Association of Emeriti Faculty. The procedures for election of representatives to the University Senate and University Senate Council shall be prescribed in the University Senate Rules.~~

~~In even-numbered academic years, the ex-officio voting members of the University Senate shall be composed of the following: Provost, Associate Provost for Undergraduate Education, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Dean of Libraries, and deans of~~

~~the Colleges of Communications and Information Studies, Dentistry, Design, Education, Engineering, Health Sciences, Law, and Social Work. In odd-numbered academic years, the *ex officio* voting members shall be the following: Provost, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Associate Provost for Faculty Affairs, Dean of the Graduate School, Associate Provost~~

~~for Undergraduate Education, and deans of the Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Medicine, Nursing, Public Health, and Pharmacy. The University Senate may recommend to the Board of Trustees changes to the above list of *ex officio* voting members and determines *ex officio* nonvoting membership, as necessary.~~

## ~~B. Officers, Committees, and Councils of the University Senate~~

~~The University Senate is authorized to develop *University Senate Rules* for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. It may perform its functions directly, through the Senate Council<sup>1</sup>, through standing or special committees which it may appoint or authorize for appointment, or through delegation of authority and responsibility to the faculties of the Graduate School, or the faculties of the on credit-bearing curricula, courses, certificates and diplomas offered at the University. The Provost — or that official's designee — shall consult with the Faculty Senate on credit-bearing curricular issues to ensure academic quality and further transdisciplinary collaboration, including disputes between and among colleges, schools, departments, centers and institutes. The University Senate Council shall appoint standing or special committees of the University Senate, responsible to the University Senate, unless the University Senate has authorized other methods of appointment.~~

~~The President is the Chair of the University Senate and shall be the presiding officer except as the President may delegate this function to the University Senate Council Chair. As its Chair, the President may be called upon by the University Senate to address or represent the University Senate or to transmit its recommendations. The President, as Chair of the University Senate, may establish and appoint academic committees to advise the President in this capacity.~~

~~The University Senate may establish University Senate committees that are responsible, in an advisory capacity, to the President or other administrative officer(s) or administrative unit(s). These committees are also responsible for reporting upon issues that bear upon the functions of the University Senate and for making recommendations for action. These University Senate advisory committees shall be appointed by the President, as the University Senate Chair, from nominations made by the University Senate Council.~~

~~A member of the University Faculty (not necessarily a member of the University Senate), appointed by the University Senate Council, shall serve as parliamentarian. The two (2) sergeants-at-arms, appointed by the University Senate Council, shall be members of the University Faculty and/or a staff employee. The University Senate shall hold regular monthly meetings during the academic year when classes are in session and, after adequate notice by its Secretary, special meetings on the call of the President or the University Senate Council or on the written request of ten (10) members.~~

~~Any University employee or student may attend a meeting of the University Senate as a visitor and request the privilege of the floor.~~

## ~~C. University Senate Functions~~

~~The University Senate is not assigned any management or administrative functions. The University Senate functions include the following:~~

- ~~1.—Determine the broad academic policies of the University, including the similar academic policies that may be made necessary by governmental or accreditation agencies, and make rules to implement these policies.~~

<sup>1</sup>~~Members and officers of the University Senate Council shall remain voting members of the University Senate until the end of their terms on the University Senate Council. They shall not be counted as a part of the quota of the educational unit that they~~

~~have represented nor of the membership of the University Senate after the expiration of their elected University Senate memberships.~~

2. Upon the recommendation of the University Senate, the Board of Trustees shall make the final University decision on the to mitigate against unnecessary duplication and establishment or closure of degree-granting academic programs. ~~Other decisions on the academic status and content of academic programs shall be made by the University Senate, pursuant to procedures contained in the *University Senate Rules*.<sup>2</sup>~~

3. ~~Make final decisions for~~ **Role of the University** ~~on curricula, courses, certificates and diplomas offered~~ **Faculty, at the University:**

**A.** ~~Adopt policies for~~ **College Level, in the University** **Conferral of Degrees**

4. ~~Before conferring an academic calendar and establish the annual calendar upon~~ degree, the Kentucky Revised Statutes require the Board to obtain a recommendation by the University Registrar.

5. ~~Recommend to~~ from the faculty. ~~2 The President and Provost on the establishment, alteration, abolition, and reporting relationships of educational units in the University.~~

6. ~~Advise the President or the President's designated officer on the planning for physical facilities, personnel and other resources when these may affect the attainment of educational objectives of the University.~~

7. ~~Advise the President or the President's designated officer, through appropriate committees, on criteria, policies and~~ shall establish procedures for performance review, appointments, reappointments, promotions, obtaining the recommendation of the faculty of the college that is granting of tenure, and benefits to faculty in the University the degree and that is most familiar with the student's.

8. ~~Determine the conditions for admission and for degrees, other than honorary degrees, in the University, pursuant to KRS 164.240.~~

9. ~~Recommend to the Board of Trustees all candidates that have been approved for degrees in the University, pursuant to KRS 164.240.~~

10. ~~Address the President or, through the President, the Board of Trustees, regarding any University matter.~~

## References and Related Materials

~~K164.240, Degrees granted by~~

~~trustees University Senate~~

~~Rules~~

## **Revision History**

~~6/14/2005, 3/27/2012~~

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

<sup>2</sup>~~Except when the Kentucky Council on Postsecondary Education or the Southern Association of Colleges and Schools requires final action by the Board of Trustees:~~

<sup>1</sup> [See, \*Rationale and Notes for SACSCOC Principle 10.4, in SACSCOC RESOURCE MANUAL FOR THE PRINCIPLES OF ACCREDITATION 96 \(4th ed. 2024\).\*](#)

<sup>2</sup> [KRS § 164.240.](#)

## **Governing Regulation V — Shared Governance Bodies**

As set forth in *Governing Regulation I*, the Board of Trustees has final authority over all aspects of the University. Further, as set out in *Governing Regulation I*, the Board delegated administrative authority to the President. Nevertheless, the President should regularly seek counsel from the University's students, faculty and staff in keeping with the fundamental commitment to shared governance as described in *Governing Regulation I*.

To facilitate this consultation, the Board establishes shared governance bodies for the students, the faculty and the staff, respectively. Each shared governance body plays a vital role by informing and influencing the President.

The shared governance bodies (Student Government Association (SGA), Faculty Senate and Staff Senate) may establish policies pertaining to the internal organizational structure and operation of its particular body and such policies shall be promulgated as an *Administrative Regulation*. Policymaking and administrative responsibilities of the University fall to the respective and appropriate offices as determined by the President.

### **A. The Student Government Association**

The Student Government Association is the official representative body of the students at the University. Subject to the limitations imposed by the law, the *Governing Regulations* or *Administrative Regulations*, the Student Government Association, through the SGA President, shall: (1) represent the views of the student body to the President and other shared governance bodies; (2) be formally engaged in and consulted about relevant matters important to students such as tuition, the student code of conduct, student support services, student fees, attendance policies, student employment and student life matters; (3) promote the general well-being of students within the University; (4) foster mutual respect, collaboration and cooperation between students, faculty and staff; and (5) provide services to the students, faculty and staff.

The Student Government Association's administrative liaison shall be the Vice President for Student Success or that officer's designee.

### **B. The Faculty Senate**

The Faculty Senate is the official representative body of the faculty of the University. Subject to the limitations imposed by the law, the *Governing Regulations* or *Administrative Regulations*, the Faculty Senate shall: (1) be formally engaged in and consulted about relevant matters important to faculty, which would include program reviews, approvals and closures, as well as the UK Core to ensure the credit-bearing curriculum aligns with the University's mission; (2) advise the Provost on University-wide criteria, policies and procedures for performance review, appointments, reappointments, promotions, granting of tenure and benefits to faculty in the University; (3) advise the President on measures necessary to preserve and protect the University's deep commitment to free speech and academic freedom as set

forth in *Governing Regulation I*; (4) advise the President as to the ethical standards applicable to members of the University's faculty; and (5) represent the views of the faculty to the President and other shared governance bodies.

The Faculty Senate's administrative liaison shall be the Provost or that officer's designee.

### The Staff Senate



### **Governing Regulation, Part V**

Responsible Office: Board of Trustees

Date Effective: 2/23/2018

Supersedes Version: 6/11/2013

# ~~Governing Regulation, Part V The Staff Senate~~

## Index

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## Introduction

C. This Governing Regulation describes the composition, authority, and functions of the University of Kentucky Staff Senate.

The Staff Senate is the official representative body of the staff of the University. ~~It shall strive to open lines of communication among all segments of the staff, as well as between staff, faculty, and students of the University. The Subject to the limitations imposed by the law, any Governing Regulation or any Administrative Regulation, the~~ Staff Senate shall ~~also act as a mechanism to disseminate information to the staff and pass information from staff to other members of the University community. The Staff Senate shall solicit participation from a diverse representation of staff and shall seek out opportunities to represent staff broadly across the University's various missions.~~

## ~~A. Membership~~

~~:(1) recommend and advise the President~~

~~1. The Staff Senate shall be composed of elected, appointed, and ex officio senators and shall consist of no more~~



than one hundred seventy-five (175) senators. Each Senator shall have one vote. The procedures for election of senators to the Staff Senate and its Executive Committee shall be prescribed in the *By-Laws of the University of Kentucky Staff Senate*.

~~2. The Staff Senate, through the *By-Laws of the University of Kentucky Staff Senate*, shall establish rules regarding the:~~

- ~~a) Eligibility of staff employees to vote in senate elections;~~
- ~~b) Eligibility of staff employees to stand for election as senator; and~~
- ~~c) Appointment of at-large and *ex-officio* senators.~~

## B. ~~Functions and Responsibilities~~

~~1. The Staff Senate is authorized to develop bylaws and rules for the conduct of its functions; copies of these shall be furnished to the President and the Board of Trustees.~~

~~2. The Staff Senate may address the Board of Trustees through the Staff Trustee regarding any matter affecting staff of the University. The Staff Senate may address the President through its elected Chair or its Advisory Committee to the President regarding any matter affecting the staff of the University.~~

~~3. The Staff Senate shall have officers and standing committees as specified in the *By-Laws* of the University of Kentucky Staff Senate to facilitate the functioning of the Senate. Advisory committees may also be created as specified in the *By-Laws on the broad personnel policies* of the University of Kentucky Staff Senate to provide advice to the President and the Staff Representative to the Board of Trustees.~~

~~4. The Staff Senate shall have no management or administrative functions other than those delegated to it by the President.~~

~~5. In service to the, including University, the Staff Senate shall meet regularly as specified in the *By-Laws of the University of Kentucky Staff Senate*. Senators wide policies that are expected to attend regular monthly meetings of the full Staff Senate, monthly Staff Senate committee meetings, and organized special events (such as UK Appreciation Day, Staff Senator Orientation, etc.). Supervisors shall make reasonable accommodations required by governmental or accreditation agencies; (2) be formally engaged and consulted about relevant matters important to facilitate participations in the Staff Senate.~~

~~6. A Senator who serves as an officer or serves on University and campus wide committees has additional responsibilities that may require additional release time from normal work duties. In advance of assuming such duties, Senators must discuss with his or her supervisor the impact on the unit's ability staff such as career progression, compensation, benefits, infrastructure, budget and Human Resources policies; (3) advise the President as to meet service responsibilities the ethical standards applicable to members of the University's staff; and (4) represent the views of the staff to the President and other shared governance bodies.~~

## References and Related Materials

HRP&P 4.0 Employee Status

## Revision History

~~1/22/2002, 6/14/2005, 4/22/2008, 6/11/2013, 2/23/2018~~

~~For questions, contact: Office of Legal Counsel~~The Staff Senate's administrative liaison shall be the Executive Vice President for Finance and Administration or that officer's



# UNIVERSITY OF KENTUCKY®

## Regulations

### **Governing Regulation, Part VI**

Responsible Office: Board of Trustees Date

Effective: 6/14/2005

Supersedes Version: 1/14/1998

## **Governing Regulation, ~~Part VI~~ — ~~The University Assembly~~ President's Council**

### **Regulation**

~~The University Assembly shall consist of all faculty members of the University, including emeritus faculty, all staff employees, including retired staff employees, and all students. It shall meet in special session on the call of the President or the University Senate. The President or the President's authorized representative shall preside. The Secretary of the University Senate shall be Secretary of the Assembly and shall be responsible for adequate notice of meetings, including a statement of subject or subjects to be discussed.~~

**A.** The Assembly may express its views on any matter affecting the University to the University Senate, Staff Senate, **Charge**

The President's Council holds a critical role in providing strategic guidance to advance the University of Kentucky's mission and goals. The President's Council offers counsel to the President on high-level issues and opportunities crucial to the institution's success.

### **B. Membership**

The President's Council shall consist of both elected and appointed members, selected to represent diverse perspectives and the teaching, research, service and care missions of the University of Kentucky community.

The President's Council includes the President and 12 members, consisting of four students, four faculty and four staff.

The President of the Student Government Association, the Chair of the Faculty Senate and the ~~President or, through~~ Chair of the Staff Senate, respectively, shall each be a member.

The additional nine members are detailed in the *Administrative Regulations*. Council members will serve for one year and may be reappointed.

### **C. President's Council Functions**

The President's Council serves as a strategic advisory body, providing counsel to the President, ~~to the~~ on a wide range of high-level issues critical to the success of the University of Kentucky.

The President's Council shall advise on strategic priorities, which may include, but not be limited to the University's annual Board of Trustees retreat, the strategic plan, key performance metrics, new initiatives to consider and budgetary priorities. The Council helps shape the future direction of the University and ensures alignment across the four missions of teaching, research, service and care.

### **Revision History**

1/14/1998, 6/14/2005

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