



# UK COLLEGE OF AGRICULTURE RULES OF PROCEDURE

Amended and approved by Ag Faculty Council November 8, 2012

These Rules of Procedure are intended to be consistent with the Governing Regulations and the Administrative Regulations of the University of Kentucky, the Rules of the University Senate, and the laws of the Commonwealth of Kentucky and of the United States of America.

In the event that these Rules of Procedure are inconsistent or contrary to the above-mentioned regulations and laws, then those regulations and laws prevail.

Rules of all departments within the college shall be congruent with these Rules of Procedure.

Submitted to the College of Agriculture Faculty: February 4, 2013

College of Agriculture Faculty Approval: February 18, 2013

Signed and Dated:

A handwritten signature in cursive script that reads 'M. Scott Smith'.

(Dean of the College of Agriculture)  
February 19, 2013

A handwritten signature in cursive script, likely belonging to the Provost.

(Provost, University of Kentucky)  
February 28, 2013

## **INTRODUCTION**

### **WHO WE ARE**

The College of Agriculture was founded as, and remains, a land-grant institution, offering access to knowledge and learning to enhance the lives of Kentuckians. The College is fundamentally interdisciplinary; applying the biological, physical, and social sciences to challenges in agricultural, food, and environmental systems. Our work encompasses farms and forests, food and fiber, families and communities, as evidenced by the 2004 merger with the College of Human Environmental Sciences; now the School of Human Environmental Sciences.

The College holds a unique position as the home of the Kentucky Agricultural Experiment Station and the Kentucky Cooperative Extension Service. Our teaching, research, and extension programs are part of a national system that maintains a statewide presence and links local, state, and global issues.

### **OUR VISION**

The College will be recognized for excellence in fostering:

- Learning that changes lives
- Discoveries that change the world
- Opportunities that shape the future

### **LAND-GRANT VALUES**

As a College, we are guided by the values underlying the land-grant philosophy:

- Learning – enhancing access to educational opportunities for all
- Discovery – expanding knowledge through research
- Engagement – collaborating with diverse institutions, communities, and people to improve lives

A hallmark of our work is the integration of these three values – learning, discovery, and engagement – into programs that make a difference.

### **OUR MISSION**

The mission of our College is to:

- Promote sustainable farming and food systems, from production through consumption;
- Enhance health and well-being of people and the environment in which they live; and
- Expand economic opportunity by sharing the knowledge and tools for wise, innovative uses of natural resources and development of human potential.
- Facilitate lifelong learning, informed by scholarship and research;
- Expand knowledge through creative research and discovery; and
- Serve Kentuckians by sharing and applying knowledge.

## I. COLLEGE ADMINISTRATION

- A. **The Dean** is the chief administrative officer of the college and is responsible for the enforcement of the *Governing Regulations*, the *Administrative Regulations*, the *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 (Governing Regulation VII <http://www.uky.edu/regs/files/gr/gr7.pdf>). The dean is responsible for the implementation of the 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.

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 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.

The dean may appoint associate deans to assist in carrying out the missions of the college, namely, research, instruction, and extension/outreach. Other types of appointments (such as assistant deans, school directors, center directors) may be made by the dean to assist in furthering the mission of the college.

Standard Personnel Files of all college faculty members are kept in the Office of the Dean.

- B. Department Chairs** lead 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-wide 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 the *Governing Regulations*, the *Administrative Regulations*, the *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 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.

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 by the chair, when appropriate, 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.

## II. FACULTY

- A. Functions:** The College of Agriculture faculty shall:
1. Determine the educational policies and establish the instructional, research, and service goals of the college within the limits established by the policies and rules of the University Senate and the *Governing Regulations* of the University of Kentucky.
  2. Make appropriate recommendations to the University Senate and to central administrative officers of the University.
  3. Carry out its functions through standing committees and/or councils within the college, but through a majority vote the faculty in attendance at a meeting of the faculty as called by the Agriculture Faculty Council shall have the authority to revise or revoke any actions taken by the standing committees and/or councils of the college.
- B. Composition:** Faculty *employees* of the College of Agriculture, as defined by Human Resources Policy and Procedure 4.0 (<http://www.uky.edu/HR/policies/hrpp004.html>), are tenured faculty, untenured faculty who hold an academic rank of instructor, lecturer, assistant professor, associate professor, professor in a title series or an equivalent faculty rank in the librarian series and whose primary (i.e., more than 50%) assignments are in teaching, research, and/or public service. Members of the *University Faculty* are regular, full-time faculty employees who are members of a College Faculty. See University Senate Rules 1.1.1 A-C. ([http://www.uky.edu/Faculty/Senate/rules\\_regulations/index.htm](http://www.uky.edu/Faculty/Senate/rules_regulations/index.htm)). Faculties of colleges are defined in GR VII.A.4 (<http://www.uky.edu/regs/files/gr/gr7.pdf>).
- C. Voting:**
1. See Attachment G for faculty nomination and voting privilege information.
  2. The Agriculture Faculty Council may extend voting privileges at its discretion to other persons assigned to the College of Agriculture, within the provisions of the *Governing Regulations, Administrative Regulations* and *University Senate Rules*.
- D. College Faculty Meetings:** Faculty meetings shall be conducted according to Robert's Rules of Order. A quorum for College Faculty meetings shall consist of 50% plus one of the voting members of the College Faculty.
- E. Regular meetings:** The dean and associate deans shall meet spring and fall with the faculty of the College to exchange information and answer questions. The Agriculture Faculty Council shall schedule these meetings.
- F. Special meetings:**
1. May be called by the president of the University, provost, dean of the college, or at the request of the Agriculture Faculty Council.
  2. The Agriculture Faculty Council shall be obligated to call an Agriculture Faculty meeting if requested by 20 voting members of the faculty.
- G. Governance**
1. The chair of the Agriculture Faculty Council or another Agriculture Faculty Council member designated by the chair shall preside over college faculty meetings called by the Agriculture Faculty Council.
  2. The dean of the college or a member of the faculty designated by the dean shall preside over the college faculty meetings called by the dean.

**I. Notification**

1. An officer of the Agriculture Faculty Council shall send electronic notification of faculty meetings two weeks in advance (or earlier) of the meeting date to the college faculty and administration.
2. The secretary of the Agriculture Faculty Council shall record and post minutes of faculty meetings to the Agriculture Faculty Council Web site following their approval.

**J. College Committees**

1. **Agriculture Faculty Council:** The Agriculture Faculty Council shall conduct its meetings according to Robert's Rules of Order, but shall be permitted to suspend those Rules by majority vote when appropriate. At the first meeting of the year, the Agriculture Faculty Council elects from among its members a chair and secretary for the year.
  - a. **Composition:** The Agriculture Faculty Council shall have ten members. No department shall have more than one member elected per cycle, not to exceed two members on the council at any one time. The dean of the college serves as an *ex officio* member of the council, without voting privileges. The assistant deans, associate deans, department chairs, and division directors shall neither be eligible to serve as members of the Agriculture Faculty Council nor vote in election of members to the council. A quorum for Agriculture Faculty Council meetings shall consist of 50% plus one of the voting members of the Faculty Council.
  - b. **Election:** Members shall be chosen by vote of the college faculty in an annual election. See Attachment G for faculty nomination and voting privileges.
  - c. **Term of Membership:** Members shall be elected to two-year terms beginning on May 1, with half of the membership elected each year. At any joint meetings held after May 1, only the newly-elected members whose terms begin May 1 shall vote. Election is held prior to the end of the spring semester.
  - d. **Responsibilities:**
    - i. The Agriculture Faculty Council shall represent the college faculty to the administration on matters of collective interest, problems, and professional well-being and serves as the faculty advisory committee for the college.
    - ii. The chair of the Agriculture Faculty Council or another Agriculture Faculty Council member designated by the chair shall preside over college faculty meetings called by the Agriculture Faculty Council.
    - iii. The Agriculture Faculty Council shall consider matters that need to be brought before the faculty, make recommendations, and, when appropriate, call for action by the entire faculty.
    - iv. The Agriculture Faculty Council shall serve as a liaison between the faculty and the dean and provide a representative opinion or recommendation on matters brought before the council. To facilitate that liaison role, the council may schedule fall and spring meetings with the dean, associate deans, College of Agriculture senators, and chair of the college STAFFLinks Committee.
    - v. The Agriculture Faculty Council shall provide input to the dean on matters of procedure and policy regarding faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, granting tenure, and decisions not to reappoint.
    - vi. The Agriculture Faculty Council shall advise the dean on the appointment of members of the faculty to the College Faculty Appeals Committee and the College Advisory Committee on Appointment, Promotion and Tenure. The council is responsible for composing a list of nominees for each of these committees. Each list shall include names of at least one tenured faculty member from each department; no individual may appear on both lists. Nominees should reflect the

- diversity of the faculty appointments in the college (e.g., research, teaching, extension, special title series, etc.).
- vii. The Agriculture Faculty Council shall seek faculty opinion and, where appropriate, shall speak on behalf of the faculty. For matters where full faculty action is warranted, the council shall make recommendations to the faculty, but ultimate action shall depend upon full faculty action.
- viii. The Agriculture Faculty Council shall respond to requests from the University Senate for recommendations for nominees for academic area advisory committees and other committees and task forces.
- e. The Agriculture Faculty Council shall conduct elections for representatives to the University Senate, as follows:
  - i. Elections for College of Agriculture representatives to the University Senate shall be conducted during March and April.
  - ii. All qualified faculty in the College of Agriculture, as defined by Attachment G, may nominate individuals equal to the number of open seats to serve three-year terms on the University Senate.
  - iii. Those eligible for nomination include all of the above except current senators with continuing terms, retiring senators who have served two consecutive terms, and those holding administrative appointments at the rank of department chair or higher.
  - iv. The nominations will be solicited via e-mail from the members of the college faculty by the chair of the Agriculture Faculty Council.
  - v. There will be a one-week minimum time frame for open nominations from issue of initial e-mail notification by the Chair of the Agriculture Faculty Council to close of nominations.
  - vi. To determine the nominees' willingness and availability to serve, the chair of the Agriculture Faculty Council will contact nominees based upon total number of nominations, and continue contacting top nominees in a descending vote tally until a minimum of twice the number of current openings for the University Senate have agreed to have their names placed on the final ballot. In the case of a tie for the last nomination, the names of all candidates who received the tying number of votes for the last nomination will be placed on the final ballot.
  - vii. Once final ballot nominees are determined, all eligible faculty members will receive a notification via e-mail from the chair of the Agriculture Faculty Council opening the College of Agriculture election for the University Senate. Secret ballots will be cast electronically via a Web form with a one-week minimum window for voting. Votes will be tallied electronically. Each voter may vote for nominees on their ballot, up to the number of open senate seats. Ballots may only be cast once per eligible voting member.
  - viii. Results will be given to the chair of the Agriculture Faculty Council who will report them to the entire faculty in the College of Agriculture and to the chair of the Senate Council.
- f. Agriculture Faculty Council Election Procedures
  - i. Election of members of the Agriculture Faculty Council shall be by electronic Web-based ballots during the spring semester. The chair of the Agriculture Faculty Council shall solicit nominations from the personnel listed by the dean of the college under the categories identified as having nominating privileges (see Attachment G). Voting procedures follow those of the University Senate Rules, 1.2.2

[http://www.uky.edu/Faculty/Senate/rules\\_regulations/Rules%20Versions/MASTER%20RULES%20from%20November%202012\\_clean.pdf](http://www.uky.edu/Faculty/Senate/rules_regulations/Rules%20Versions/MASTER%20RULES%20from%20November%202012_clean.pdf)).

- ii. All votes shall be decided by a majority of those voting. In the case of a tie for the final open position, a run-off election will be held from among those who are tied for that position.
2. Faculty Appeals Committee
  - a. Composition: This committee shall be composed of five tenured faculty members appointed by the dean from a list of nominees submitted to the dean by the Agriculture Faculty Council.
  - b. Term of Membership: Members shall be appointed to the Faculty Appeals Committee by the dean to two calendar year terms. Members may not serve consecutive terms.
  - c. Responsibility: The Faculty Appeals Committee shall hear appeals of performance review ratings and advise the dean on appeals decisions. The dean shall inform the committee in writing of the final decision on all appeals brought before the committee.
3. College Advisory Committee on Appointment, Promotion and Tenure
  - a. Composition: This committee shall be composed of six tenured faculty members and two to three alternate members appointed by the dean from a list of nominees submitted to the dean by the Agriculture Faculty Council.
  - b. Term of Membership: Members shall be appointed to the Appointment, Promotion and Tenure Committee by the dean to two-year terms starting July 1. Members may not serve consecutive terms.
  - c. Responsibility: The Appointment, Promotion and Tenure Committee shall advise the Dean on faculty personnel actions involving initial appointment at the rank of Associate Professor or Professor, promotion, and the granting of tenure. This committee will also be consulted by the Dean regarding decisions for terminal reappointment or non-reappointment.
4. College Curriculum and Education Policy Committee
  - a. The Curriculum and Education Policy Committee serves as an advisory group to the dean, departments, and faculty regarding curriculum and education policy issues for the college. It is charged with the authority to make decisions on behalf of the faculty in approving curricular proposals and forwarding those proposals to the Office of Senate Council for final approval, or disapproving curricular proposals and sending those proposals back to the originating unit for further consideration. The dean or his designee forwards these approved proposals to the appropriate office.
  - b. Composition of the Committee: The committee consists of two subcommittees, one which focuses on undergraduate-level curricular issues and the other which focuses on graduate-level curricular issues. Membership on each subcommittee for any given academic year will consist of approximately two-thirds of the number of Directors of Undergraduate Studies (DUSs) for the undergraduate subcommittee, or Directors of Graduate Studies (DGSSs) for the graduate subcommittee currently active in the college. Rotations will be set up such that members of those subcommittees serve two-year terms, staggered so that half of the subcommittees are returning faculty and half are new faculty. One student member (voting) will be selected for each subcommittee by the associate dean for instruction based on recommendations received from all college DUSs (undergraduate subcommittee) or all college DGSSs (graduate subcommittee) at the start of each academic year. The associate dean for research will be consulted on appointment of the student for the graduate subcommittee. The directors of both Advising Resource Centers will also be members of both subcommittees (*ex-officio*, non-voting). The associate dean for research will



also be a member of the graduate subcommittee (*ex-officio*, voting). The associate dean for instruction will chair both subcommittees (*ex-officio*, voting).

- c. Functions of the Committee are to:
  - i. Act to approve or disapprove, on behalf of the faculty of the college, all curriculum proposals (new course and programs, revised courses and programs, suspension or deletion of programs, and deletion of courses) submitted by departmental or interdisciplinary faculty.
  - ii. Review and make recommendations on the academic requirements of the college, on programs, including departmental, interdepartmental, and interdisciplinary programs; and on all other issues of educational policy, for transmission to the faculty or the departments.
  - iii. Initiate new academic policies and procedures for the college as appropriate, for recommendation to the college.
  - iv. Apprise the administration on educational policy issues and actions brought to it by the administration.
  - v. Advise the administration on the formation of ad hoc committees to recommend and evaluate educational policy issues of importance to the college.
- d. Committee Governance
  - i. The Office of Academic Programs will coordinate all proposals submitted to the college on behalf of the committee. This office will also be responsible for recording minutes at each meeting and ensuring that those minutes are distributed to the committee for review and approval at the next scheduled meeting.
  - ii. All decisions made by subcommittees must be approved by a majority of the members present at the meeting. A quorum for purposes of official voting shall consist of one more than half of the voting members, and include at least one more than half of the faculty members who are not *ex officio* members. All meetings of the committee are open to any faculty or staff member or student representative in the college.
- e. Curriculum Procedures: Curriculum proposals originating from departments or interdisciplinary programs will be submitted to the Office of Academic Programs. These proposals will be sent to the committee and simultaneously posted for college review and comment. Proposals will be available for faculty comment ten days prior to action by the committee. After the review period, all comments from faculty will be provided to the committee for use in deliberating on proposals. Faculty from submitting departments may be asked to attend the committee meeting to explain the proposal. All proposals that are approved will be sent to the appropriate university council for further deliberation. Proposals that are not approved will be returned to the originating unit with an explanation for the denial. The Office of Academic Programs will update the committee on subsequent actions by university councils. For more detail on procedures and to locate the necessary forms, refer to the College of Agriculture Curriculum Procedures Manual on the College Curriculum Review Website.
- f. Meetings: Meetings of the committee will be regularly scheduled during each academic term. The committee will determine the frequency of the meetings, but meetings will be scheduled at least monthly. Additional meetings may be called by the chairperson or at the request of another member. Summer meetings will be convened as necessary.

### III. COLLEGE STUDENT COUNCIL

**A. Composition and How Chosen:**

1. President of Student Council, elected by student body of the college
2. The president or one selected representative of each club within the College of Agriculture as recognized by the council. A list of these recognized organizations is maintained in the Office for Academic Programs.
3. Nine at-large representatives, three each from the sophomore, junior and senior classes, elected by the student body.
4. One representative from each academic major within the College of Agriculture to be appointed by the director of undergraduate studies for each respective major.
5. College of Agriculture student senator to the University Senate, elected by the student body.
6. Three at-large freshman class representatives serving as ex officio members, elected by the freshman class in September of each year.
7. Two faculty advisors to be appointed by the Associate Dean for Instruction.

**B. Term of Membership:** One year, starting June 1 and ending May 31, with the exception of freshman ex officio members who serve from time of election until May 31. Members may serve more than one term.

**C. Responsibilities** (the Student Council shall):

1. Serve under the direction of the Associate Dean for Instruction in an advisory role on curricula, academic programs and policies, and advising issues;
2. Promote student and faculty interactions;
3. Recognize student and faculty scholarship and achievement;
4. Organize and/or coordinate undergraduate student activities;
5. Facilitate communications among student organizations;
6. Promote professional and career development activities;
7. Promote activities to enhance the general welfare of students in the college.

## IV. EDUCATIONAL POLICIES FOR TEACHING AND RESEARCH ASSISTANTS

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

- A. **Supervision of Teaching and Research Assistants:** Teaching and research assistants shall be carefully supervised and mentored in their duties and responsibilities. Each department or the college, as appropriate, will assign a faculty member to directly supervise each teaching and research assistant. Supervision of teaching assistants will include, at a minimum, the following activities: Bi-monthly meetings with the supervisor, one in-class visitation per semester, and completion of the Supervisor Evaluation Checklist. Completed Supervisor Evaluation Checklists are to be maintained in the teaching assistant's personnel file and submitted to the Graduate School dean at the end of each semester for all teaching assistants. The Graduate School has developed an online form for the Evaluation Checklist.
- B. **Evaluation of Teaching and Research Assistants:** Instructional performance of Teaching Assistants is assessed through the Teacher Course Evaluation administered at the end of each semester. Each department shall be responsible for systematic evaluations of the performances of teaching and research assistants and the results of these evaluations shall be presented to the assistants in some formal manner.
- C. **Teaching and Research Assistants Orientation and In-service Training:** The Graduate School holds an orientation/in-service training at the beginning of each semester for all teaching assistants. The college (or departments) holds an orientation/in-service training for all teaching and research assistants at the beginning of each academic year to inform them of their duties, rights, and responsibilities. Attendance is required for all teaching assistants.

## V. AMENDMENTS

Proposed amendments to these Rules of Procedure must be submitted to the chair of the Agriculture Faculty Council. If the council decides the proposed amendment should be considered, it shall be electronically distributed a minimum of 14 days prior to voting. Proposed amendments submitted to the chair of the Agriculture Faculty Council and accompanied by supporting signatures of 20 of the eligible voters, shall be distributed for consideration and vote without deliberation by the council. Ballots on proposed amendments shall be accompanied by a statement of the existing language and the proposed change or addition and the rationale for the proposed amendment.

These Rules of Procedure have been created and approved by the faculty of this college, pursuant to the authority granted by the *Administrative Regulations, Governing Regulations* and the *University Senate Rules* of the University of Kentucky. These rules do not become effective until and unless approved by the dean and provost as indicated by their signatures on the first page of this document. The dean and provost must also approve any modification to these rules before the modification takes effect. A current copy of the approved rules for this college is available on the Web sites of the Office of the Dean of the college and the Office of the Senate Council.

## VI. ADMINISTRATIVE ATTACHMENTS

Attachments are supplements to the rules of procedure and are not subject to approval by the college faculty before being modified or added to this document. However, the dean does seek input from department chairs and the Agriculture Faculty Council, and communicates with the faculty as a whole regarding future changes.

- A. Attached to these Rules of Procedure is a statement regarding Performance Review of Faculty.
- B. Attached to these Rules of Procedure is a statement regarding Review of Progress toward Tenure.
- C. Attached to these Rules of Procedure is a statement regarding Appointment, Reappointment and Terms of Chairs.
- D. Attached to these Rules of Procedure is a statement regarding Review of Departmental Chairs and Unit Directors.
- E. Attached to these Rules of Procedure is a statement regarding Guidelines for Teaching Overload and Supplemental Compensation of Faculty.
- F. Attached to these Rules of Procedure is a list of Key UK *Governing Regulations, Administrative Regulations, and Human Resource Policy and Procedure* related to faculty.
- G. Attached to these Rules of Procedure is a chart defining Membership and Privileges for Nominating, Voting, and Serving as AFC Representatives and University Senators

## **ATTACHMENT A: PERFORMANCE REVIEW OF FACULTY**

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

A primary purpose of the performance review is individual and institutional self-improvement. The performance review shall determine for each faculty member both a quantitative assessment and a qualitative judgment of the faculty member's activities during the review period (two preceding years) in teaching and advising, research and scholarship, extension education, university and public service, and/or other appropriate activities with relative weighing based upon prior agreement pertinent to the distribution of effort among any or all of these activities.

An agreement is to be developed annually between the unit administrator and the faculty member on the distribution of effort expected of the faculty member in major activities during the succeeding year. This agreement shall be developed between the unit administrator and the faculty member based upon Rules of Procedures for that unit. The most recent Distribution of Effort Agreement form signed by the chair and the faculty member shall constitute the written agreement.

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

Department chairs shall utilize the advice of tenured faculty members in assessing the quality of faculty performance in each of the major areas of activity. The faculty input may be through an advisory committee, through consultation with all tenured faculty members, or through other appropriate means of faculty consultation. The chair recommends a rating to the dean and associate deans and a final rating is determined in a conference of the chair and the dean and associate deans. If the dean and the chair are unable to agree upon an individual's performance rating, the faculty member shall be informed of the ratings of both the chair and the dean and informed that the rating of the dean is final, unless appealed. After final ratings are determined, there shall be a conference between the chair and each faculty member, focusing upon the faculty member's performance of his or her assignment during the period of review, strengths and weaknesses, and suggestions for improvement if appropriate.

If a faculty member disagrees with the performance rating, he or she may request a conference with the dean. In such case, the faculty member shall be invited to present additional information relating to performance at the conference involving the dean, the chair, and associate deans. A faculty member who, after a conference with the dean, still disagrees with the rating received may formally appeal to the dean. The appeal shall be heard by a Faculty Appeals Committee appointed by the dean from a list of nominees forwarded to the dean by the Agriculture Faculty Council. After the hearing, the committee shall make a recommendation to the dean, and the dean shall accept or reject the recommendation and advise the faculty member of this decision. A faculty member remaining in disagreement with the decision may appeal to the provost for a hearing in accordance with procedures established by the provost.

For more information, see AR 3:10 <http://www.uky.edu/Regs/files/ar/ar3-10.pdf>.

## **ATTACHMENT B: REVIEW OF PROGRESS TOWARD TENURE**

Administrative Regulations (AR:3:10. B.4, <http://www.uky.edu/Regs/files/ar/ar3-10.pdf>) require that unit administrators consult with the tenured members of the faculty regarding the progress of each non-tenured faculty member toward consideration for tenure in terms of the unit's expectations. These discussions should occur before the end of the non-tenured faculty member's second and fourth years, but may occur more frequently at the administrator's discretion. The results of these discussions should be communicated to the individual non-tenured faculty member and a record of two- and four-year reviews maintained in the faculty member's file. During the fourth year of appointment, an untenured faculty member below the rank of associate professor shall be formally reviewed to evaluate progress toward tenure. By an announced date, faculty members subject to the fourth-year review shall submit documentation for evaluation by the tenured faculty of the department. Documentation should include a CV, a narrative of a maximum length of four pages about his or her teaching/research/extension activities, and (as appropriate) a teaching portfolio. Following review of the documentation, each tenured faculty member shall provide a letter to the department chair identifying the individual's strengths and weaknesses, and evaluating the individual's progress toward promotion.

### Promotion and Tenure Actions

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

Each College of Agriculture academic department has developed a Statement on Evidences of Activity related to promotion and tenure. To view Statements on Evidences of Activity, see <http://www2.ca.uky.edu/deanadmin/faculty/evaluations/statements>. Information about the statements also appears in AR 2:1, pages 2-3, <http://www.uky.edu/Regs/files/ar/ar2-1-1.pdf> and GR VII, page 6, <http://www.uky.edu/Regs/files/gr/gr7.pdf>.

The college shall have an Advisory Committee on Appointment, Promotion and Tenure appointed by the dean from a list provided by the Agriculture Faculty Council. There shall be no overlap with the college appeals committee. The dean shall also obtain a written recommendation from the college advisory committee whenever an assistant professor, associate professor, or professor is considered for promotion and/or tenure. A written recommendation from the college advisory committee should also be sought for initial appointments at the ranks of associate professor or professor. Lastly, the dean shall provide the dossier to the college advisory committee, and obtain its written advice prior to making a recommendation or decision on terminal reappointments or decisions not to reappoint. For information on the Comprehensive Tenure Review, see AR 2:1-1, IV, <http://www.uky.edu/Regs/files/ar/ar2-1-1.pdf>.

## **ATTACHMENT C: GUIDELINES FOR TERMS, APPOINTMENT, AND REAPPOINTMENT OF ACADEMIC DEPARTMENT CHAIRS**

(Excerpted from Dean Scott Smith's memo of November 5, 2008)

**Academic chairs only:** These policies and guidelines are intended to apply only to chairs of academic departments. Appointment processes for chairs and directors of non-academic departments or units in the College of Agriculture will be consistent with regulations and human resource policies of the University of Kentucky. Non-academic appointment processes may or may not include formal search committees. Participation of, and consultation with, faculty and staff associated with such non-academic units will be in a format determined by the dean or college administrator to whom that chair or director will report. Should this info about non-academic appointments be in the 'Academic chairs only' section?

**Ongoing evaluation of chairs:** The College of Agriculture will continue to conduct performance evaluation of all chairs every other year. This will be done in the alternate year when Associate and Full Professors are not being evaluated. It will include an instrument that allows faculty comment and evaluation of chair performance.

**Term length is six years:** In most University of Kentucky colleges, chairs are appointed for four year terms. The College of Agriculture has, by university regulation, six year terms for chairs. The most common justification has been that leadership of outreach/service, and management of complex facilities, funds and programs demand more experience and management skills from our chairs. Surveys and discussions have provided little support for reducing the term of chairs, and there are no plans to do so.

**No absolute limit to number of terms:** University regulations indicate that chairs may be reappointed for multiple terms, but suggest that sufficient justification of the academic benefit must be presented to reappoint. Furthermore, university regulations state "Reappointment beyond the second term may occur under exceptional circumstances when it is deemed to be in the best interests of the University. This practice may vary from discipline to discipline." The practice in our college has been to include demands of land grant and mission-specific program advancement among those "exceptional circumstances."

In recent discussions, some expressed the view that, in the past, reappointment of chairs in this college has been done too casually or without a sufficient role for the faculty. On the other hand, there was strong resistance to establishing a policy that excluded the reappointment of chairs who were performing well and continue to enjoy faculty support. The administration does not support a fixed number of terms, but does intend to make reappointment procedures consistent with university regulations.

**Reappointment, and new appointments:** Near the end of a current chair's term, the dean will inform the faculty and schedule a meeting between the faculty and the college deans, in the absence of the current chair, which will include discussion of options for reappointment vs. new appointment, and an internal vs. national search.

Following the open meeting, the dean will provide an opportunity for individual comment by faculty and staff of the department, including anonymous comment.



University regulations require that the dean will appoint a search committee for either reappointments or new appointments. Typically such committees will be chaired by another chair or college administrator. Department faculty will constitute a majority of the committee members, but other faculty or staff may be appointed from outside the department. Some chair search committees in our college include a stakeholder not employed by the university. Students and staff should be included in the process.

With the search committee, the dean will review or revise the position description, and determine a search process appropriate to the circumstances. The search committee will be asked to identify candidates, including the current chair, and invited to comment on their strengths and weaknesses to the dean. They will not be asked to rank candidates if there is more than one.

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

## **ATTACHMENT D: REVIEW OF DEPARTMENT CHAIRS AND UNIT DIRECTORS**

(Excerpted from Dean Scott Smith's memos dated Sept. 30, and Nov. 23, 2009)

All chairs, directors, and other administrators in the College are formally evaluated biannually. Those who have been in their position for less than one year will not receive a formal evaluation, but should submit the materials described below. Those who do not report directly to the dean may receive modified or added instructions from the Associate Dean to whom they report. Evaluations will be completed no later than February. Materials should be submitted, as described below, no later than by a date specified by the dean.

A concise summary report of administrative contributions should be submitted as a PDF or Word document via e-mail. The evaluation period and the report should cover two calendar years. The report format is flexible, but should not exceed 4 pages; 2 or 3 pages are adequate in most cases. Narrative text, outlines, or bulleted lists are appropriate. Address all of the following points that are appropriate to the administrative position:

Notable achievements or advancement in the department or area you administer (Don't hesitate to emphasize truly significant contributions by your faculty or staff; the progress of your department is in many ways the most important factor in your evaluation.)

1. Significant administrative activities by you in support of your administrative area
2. New initiatives or programs you have led or supported
3. Major issues and challenges to which you and your unit have responded
4. Leadership contributions beyond your own administrative area, at the college, university or external level
5. Scholarly activity and other professional contributions by you
6. Future issues and challenges, planning and priorities for your area.

In accordance with GR IX (<http://www.uky.edu/regs/files/gr/gr9.pdf>) and *Administrative Regulations*, faculty and staff are given the opportunity every other year to participate in the review of their department chair/unit director. The result of faculty and staff input is reviewed by the dean (or the appropriate associate dean) and a summary is provided to the chair/director being reviewed.

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

For departmental chairs the survey is conducted on-line. For unit directors and administrators who report to associate deans, personnel receive separate instructions about surveys from the appropriate associate dean.

The on-line chair survey is open for one month. Respondents are able to fill out only one survey for one particular chair; however, respondents who work with multiple chairs are able to complete multiple surveys, if they choose. Strong efforts will be made to ensure that the identity of survey responders remain anonymous.

## **ATTACHMENT E: GUIDELINES FOR TEACHING OVERLOAD AND SUPPLEMENTAL COMPENSATION OF FACULTY**

(From Dean Scott Smith's memo to faculty dated November 25, 2009)

1. Unless stated otherwise, all guidelines stated below apply to 12-month faculty throughout the calendar year, and to 9-month faculty during the period August 16 through May 15.
2. Under no circumstances will faculty receive both supplemental compensation and Distribution of Effort credit for the same teaching activity.
3. By regulation, overloads for any purpose require approval by the Dean. Instruction-related overloads will be reviewed and approved by the Chair, the Associate Dean for Instruction (ADI), and the Dean.
4. Faculty will normally not be approved for teaching overload in a degree program which their department directs, or shares direction in the case of multi-department programs. Exceptions may be made, by mutual agreement of the chair and faculty member, and approval by the ADI, for essential courses when no alternative instructors are available. Under some uncommon circumstances, Distance Learning courses may also be exempted (see below).
5. Faculty will normally be approved to teach overload outside of their department's own programs and be eligible for supplemental compensation, with completion of an internal overload form, approval of their chair and the ADI, assuming the overload assignment is deemed not to conflict or compete with in-load assignments.
6. Faculty teaching Evening/Weekend "growth" classes will not be approved to receive supplemental compensation. Any such teaching will be in-load (included in DOE calculations). Incentive funds received for E/W classes will remain with the department for reinvestment in instructional programs.
7. Faculty teaching Distance Learning courses normally teach in-load (no supplemental compensation, with DOE credit). DL courses may be approved as overload (supplemental compensation allowed, no DOE credit) only when justified on the basis of benefits to students (e.g., access, facilitates retention and graduation) or the inability of the department to deliver a required or essential course by any other means. Such overload assignments must be reviewed and approved by the Chair, the ADI, and the Dean.
8. Compensation for faculty teaching DL courses in approved overload will be no greater than the net incentive funds generated by the course. Supplemental compensation will not exceed that fraction of base salary normally associated with DOE that would be attributed to the teaching activity. (Example: a 3 credit course with 20 undergraduates would be 12.5% of annual DOE for a 9-month faculty. The faculty member could receive no more than an amount equal to 12.5 percent of their base salary as supplemental compensation.)
  - a. Any additional incentive funds received for DL courses will be allocated 80% to the generating department and 20% to the college ADI for reinvestment in instructional programs.
  - b. Teaching during summer sessions by 9-month faculty is subject to agreement by the chair and faculty member. The guidelines above are not intended to alter practices on compensation of faculty for summer or winter intersession teaching.

**ATTACHMENT F: KEY UK GOVERNING REGULATIONS, ADMINISTRATIVE REGULATIONS, AND HUMAN RESOURCES POLICY AND PROCEDURE RELATED TO FACULTY**

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

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

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

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

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

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

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

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

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

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

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

# **ATTACHMENT G: PRIVILEGES FOR NOMINATING, VOTING, AND SERVING AS AFC REPRESENTATIVES, UNIVERSITY SENATORS, AND COLLEGE VOTING**

<b>Title Series</b>	<b>College Faculty Membership</b>	<b>Nominating Privileges for AFC and University Senate</b>	<b>AFC/College Voting and AFC Service Privileges*</b>	<b>Senate Election Voting Privileges</b>	<b>Service as University Senators**</b>
Clinical	Y	Y	Y	Y	Y
Extension	Y	Y	Y	Y	Y
Instructor	N	N	N	N	N
Lecturer	Y	Y	Y	Y	Y
Librarian	Y	Y	Y	Y	Y
Regular	Y	Y	Y	Y	Y
Research	Y	Y	Y***	Y	N
Special	Y	Y	Y	Y	Y

\*For AFC elections, all regular, full-time faculty members and phased retirement faculty members have nominating and voting privileges with the exception of the dean and associate deans. However, department chairs and others at or above the level of department chairs may not serve on the AFC.

\*\*Phased retirement faculty members may nominate and vote for university senators, but may not serve as university senators.

\*\*\*Research title series may nominate and vote in AFC elections, but not serve.

## **NOTES:**

Departmental voting privileges are determined by departmental faculty and recorded in departmental rules of procedure.

This addendum to the College of Agriculture Rules of Procedure was approved by the Agriculture Faculty Council on November 8, 2012.