

Recommendations of the Senate Council Ad Hoc Committee on Multidisciplinary Centers and Programs

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Outline of changes and their rationale

We surveyed the directors of multidisciplinary research centers, graduate centers, and interdisciplinary instructional programs to identify some of the problems in our current regulations governing these educational units.

What doesn't need to be fixed:

1. Many of the most intellectually exciting areas of interest require an interdisciplinary approach.
2. UK is a great place to do interdisciplinary education — research, instruction, and service.
3. Most directors were satisfied with their current arrangements, but many wanted a little more flexibility so they could pursue a wider variety of educational activities.

Problems identified in the current regulations:

1. Rigid distinctions in the current regulations between multidisciplinary research centers (MDRCs), graduate centers, and interdisciplinary instructional programs (IIPs) belie the fact that the major educational functions of each of these kinds of educational units are strongly related. For example, research almost always involves instruction in the form of supervision of graduate theses and dissertations, and undergraduate instruction at a major research university should involve exposure to cutting-edge research. The rigid distinctions also lead to administrative duplication in the form of separate instructional programs and research centers with the same area of interest and significant overlap of faculty (and sometimes even the same director).
2. At UK, the faculty are charged with the responsibility of setting educational policy, yet the current regulations do not clearly define which faculty are responsible for setting educational policies within IIPs.
3. Faculty of any kind are not currently permitted to have their *primary* appointments in MDRCs. Directors of MDRCs who wish to hire research faculty must ask departments to grant primary appointments. A research faculty member is likely to spend the vast majority of his or her time in the MDRC, but, when it comes time for evaluation and promotion, the faculty of the primary appointment department must undertake these tasks, even though they may be unfamiliar with the faculty member's work.

Proposed change to the current definition of “educational unit”:

1. Retain the current criterion that tenured and tenure-eligible faculty have DOE assigned to the unit in the areas of research, instruction, and service that sums up to at least one full-time person, but add an alternative criterion that there be at least four tenured and tenure-eligible faculty with secondary appointments in the unit.

Proposed changes to the current regulations on MDRCs:

1. The core faculty who are responsible for setting the educational policies of MDRCs are those faculty who have assigned DOE in the unit *and* those faculty with secondary appointments in the unit.
2. Allow MDRCs to offer graduate and undergraduate courses and certificate programs. (The current regulations do not actually prohibit MDRCs from offering courses or certificate programs, although there currently appears to be only one certificate program

housed in an MDRC.) The director and the MDRC core faculty together define the faculty responsible for instructional policy. If an MDRC chooses to offer courses or certificate programs, the director is responsible to the Dean of the Graduate School or the Associate Provost for Undergraduate Education for these activities.

3. Allow primary appointments of tenure-ineligible faculty in MDRCs if the director of the MDRC is a tenured faculty member, and, equally importantly, require that the Vice-President for Research report to the Provost on matters regarding educational policies and faculty promotion. These conditions preserve the principles that faculty evaluate faculty and that the Provost, as the chief academic officer of the University, oversees the evaluation and promotion of faculty. Essentially, for purposes of faculty promotion, the VPR will act as a dean of MDRCs. The VPR can report directly to the President on other matters.
4. Require the approval of MDRC directors when a faculty member's DOE in that unit changes. This requirement offers greater stability to the MDRCs, which is especially important if it offers certificate programs.

Proposed changes to the current regulations on IIPs:

1. Define the core faculty who are responsible for setting the educational policies of IIPs as those faculty who have shared the instructional duties of the program in the past three years. (Exception: those IIPs whose faculty are otherwise defined in the University Senate Rules, i.e., the Honors Program.)
2. Require the approval of IIP directors when a faculty member's DOE in that unit changes. This requirement offers greater stability to the IIPs.

Proposed change to the current regulations on graduate centers:

1. Allow graduate centers to offer undergraduate courses and certificate programs. This change will cause there to be no fundamental distinction between graduate centers and departments. However, there appears to be no good educational or pedagogical reason to prohibit faculty in a graduate center from offering undergraduate instruction. If this change is adopted, then, in the future, graduate centers will differ from departments in emphasis (and perhaps by virtue of reporting to the dean of the Graduate School) rather than in any fundamental way. UK already has types of educational units (departments and schools) that differ in ways that no one can articulate.

Proposed changes outside of the regulations:

1. Ask all current interdisciplinary degree and certificate programs that are not housed in departments to define their core faculty, and ask the Board of Trustees to approve the establishment of IIPs to contain these programs.
2. Standardize the reporting of DOEs so that the faculty who have DOEs in particular MDRCs or IIPs are easily identified.

What we have not changed:

1. That the director of an MDRC need not be tenured or tenure-eligible.
2. That an MDRC may report to either the Provost, the VPR, or an appropriate dean.
3. The required range of activities or reporting relationship of any current MDRC or IIP.

What we have not done:

1. Defined how “centers” and “institutes” differ.
2. Proposed methods for dissolving MDRCs or IIPs that have outlived their relevance.
3. Identified which centers at UK rise to the definition of “educational unit,” and which fail to do so, and hence are “administrative units.”

Additional recommendation:

1. Reexamine the policy under which research faculty may not be paid with state funds. If research faculty are going to be involved in classroom instruction, their salaries cannot come solely from grants. Our committee did not discuss this issue extensively, so we have no recommendation on this matter.

Proposed Governing Regulation, Part VII

Introduction

For the purpose of administering the various programs of the University, educational and administrative units shall be established within the University. All units of the University shall only be established, altered, or abolished by the Board of Trustees. For matters relating to the organization of the University as it affects academic policies, the Board relies upon the advice of the University Senate and the President. It relies upon the advice of the President concerning administrative organization and powers and responsibilities of the officers of the University.

An existing or proposed unit is an educational unit if its primary mission is the performance of educational activities in instruction, research, and service, and either:

1. the full-time, tenured or tenure-eligible faculty of the unit have assigned effort (DOE) in instruction, research, and service (but not administration) in that unit that sums to at least one full-time person's effort; or,
2. at least four tenured or tenure-eligible faculty have secondary appointments in the unit.

An educational unit is subject to the University Senate review and the periodic review processes. Any unit not meeting the definition of an educational unit is defined as an administrative unit.

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. The different types of educational activities are interrelated; for example, research often involves the supervision of graduate students, which is classified as instruction.

A. Educational Unit

1. Definitions of Educational Units and Their Chief Administrative Officers

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, research, and service including extension activities.

Major educational units of the University are the colleges, the Libraries, and the Graduate School. For purposes of these *Governing Regulations*, the Libraries are equivalent to a college. Schools are administratively responsible to a college, and departments are directly responsible either to a college or to a school within their college.

An interdisciplinary instructional program (IIP) is an educational unit established to provide formal graduate or undergraduate instruction, including courses, certificate programs, or degree programs, in a coherent area that crosses departmental or college boundaries. Generally, an IIP does not place an emphasis upon interdisciplinary research, or the faculty of an IIP do not feel a need to formalize their research activities administratively.

A graduate center is an interdisciplinary educational unit that conducts research and delivers graduate education degree programs in a coherent area that crosses departmental or college boundaries. A graduate center may offer undergraduate courses and undergraduate certificate programs in its area of concentration, as long as the courses or certificate programs are not duplicative of courses or certificate programs offered by other units within the University.

A multidisciplinary research center or institute (MDRC) is an educational unit established primarily to conduct research. An MDRC may also offer graduate or undergraduate courses or certificate programs, as long as the courses or certificate programs are not duplicative of courses or certificate programs offered by other units within the University.

The chief administrative officer of a major educational unit is a dean. The chief administrative officer of a graduate center, interdisciplinary instructional program, school, or multidisciplinary research center or institute is a director. The chief administrative officer of a department is a chair.

- 2. Academic Ranks**
- 3. The Graduate Faculty**
- 4. Faculties of Colleges**
- 5. Faculties of Schools**
- 6. Faculties of Departments**

7. Faculty of Multidisciplinary Research Centers and Institutes

(a) Faculty Membership and Functions

The faculty of a multidisciplinary research center or institute (MDRC) is responsible for establishing the educational policies of the unit. The faculty shall consist of, (1) a director, who also shall be a faculty member at any rank of a department, school, or college; and, (2) faculty members with either secondary appointments or assigned research or service duties (via their DOE) in the unit (the core faculty). In addition, the core faculty of the unit may extend membership, with or without voting privileges, to any other person assigned to the unit for administrative, instructional, research, extension, clinical or librarian work. The faculty shall establish written procedures by which a person may become a member of the unit.

If the faculty of an MDRC proposes to offer courses or certificate programs (formal

instruction), the director, in consultation with the core faculty, shall designate those members of the core faculty of the unit who shall have the authority to vote on policies regarding the formal instruction. These faculty shall then establish written procedures by which other faculty may become eligible to vote on matters involving the formal instruction. The faculty who have the authority to vote on graduate courses and certificate programs must be members of the Graduate Faculty (see paragraph 3 above).

Faculty who are assigned (via their DOE) to an MDRC may be tenured, tenure-eligible, or tenure-ineligible. Tenured and tenure-eligible faculty must have their primary appointment in a department, school, graduate center, or college without either schools or departments. Tenure-ineligible faculty may have their primary appointment in the MDRC only if the director of the MDRC is a tenured faculty member. The promotion of faculty who have their primary appointment in the MDRC shall follow the same procedures as the promotion of faculty in departments, with the faculty of the MDRC taking the role of the faculty of the department. The faculty and director of an MDRC shall be consulted in the promotion of faculty who have at least 20% of their assignment (DOE) in the MDRC.

The director of an MDRC must approve any change in a faculty member's assignment (DOE) to an MDRC. If the director does not approve of a change, and the parties cannot come to a mutually satisfactory agreement, the Provost or his or her designee will make the final decision.

(b) Administrative Responsibility

The director of a multidisciplinary research center or institute shall be administratively responsible to the dean of an appropriate college, the Vice President for Research, or another administrator designated by the Provost. The Vice-President for Research shall report to the Provost on all matters regarding educational policy and faculty promotion. The director shall also be responsible to the Dean of the Graduate School for the MDRC's graduate instructional activities and to the Associate Provost of Undergraduate Education for its undergraduate instructional activities.

8. Faculty of Graduate Centers

(a) Faculty Membership and Functions

The faculty of a graduate center is responsible for establishing the educational policies of the unit. The faculty is defined in a way exactly analogous to the faculty of a department (see paragraph 6 above).

(b) Administrative Responsibility

The director of a graduate center shall be administratively responsible either to the Dean of the Graduate School or to the dean of an appropriate college. If the director is

responsible to the Dean of the Graduate School, he or she shall also be responsible to the Associate Provost of Undergraduate Education for the graduate center's undergraduate education activities. The director of a graduate center has the same rank as the chair of a department.

9. Faculty of Interdisciplinary Instructional Programs

(a) Faculty Membership and Functions

The faculty of an interdisciplinary instructional program (IIP) is responsible for establishing the educational policies of the unit. Unless the University Senate Rules stipulate otherwise, the faculty of any IIP shall consist of: (1) a director, who shall also be a tenured faculty member of a department, school, or college; (2) faculty members who have shared the instructional duties of the unit within the past three years (the core faculty). In addition, the core faculty of the unit may extend membership, with or without voting privileges, to other persons who can contribute to the instructional mission of the program. The faculty shall establish written procedures by which persons may become members of the unit.

Faculty who are assigned (via their DOE) to an IIP must have their primary appointment in a department, school, graduate center, or college without either schools or departments. Faculty shall not have appointments in an IIP.

The director of an IIP must approve any change in a faculty member's administrative assignment (DOE) to an IIP. If the director does not approve of a change, and the parties cannot come to a mutually satisfactory agreement, the Provost or his or her designee will make the final decision.

(b) Administrative Responsibility

The director of an IIP is administratively responsible either to, (1) the dean of an appropriate college; or, (2) the Dean of Undergraduate Studies (i.e., the Associate Provost for Undergraduate Education), the Dean of the Graduate School, or both, depending on the IIP's mix of graduate and undergraduate instruction.

10. Student Participation

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

Current Governing Regulation, Part VII

Introduction

For the purpose of administering 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. 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. Any existing or proposed unit that has as its primary mission the performance of educational activities in instruction, research, and service shall be defined as an educational unit if at least one full-time (tenured or tenurable) 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.

Any unit not meeting the definition of an educational unit is defined as an administrative unit.

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.

A. Educational Unit

1. Definitions of Educational Units and Their Chief Administrative Officers

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, research, and service including extension activities.

Major educational units of the University are the colleges, the Libraries, and the Graduate School. For purposes of these Governing Regulations, the Libraries is equivalent to a college.

Schools are administratively responsible to a college, and departments are directly responsible to a college or sometimes directly to a school within their college.

Some instructional programs draw faculty exclusively from one department, school, or college whereas interdisciplinary instructional programs, such as the Honors Program, draw faculty from different departments, schools, and colleges.

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.

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.

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.

2. Academic Ranks

Academic ranks in the University consist of lecturer, 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.

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. 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.

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.

- 3. The Graduate Faculty**
- 4. Faculties of Colleges**
- 5. Faculties of Schools**
- 6. Faculties of Departments**

7. 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 the educational policies of the unit 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.

8. Student Participation

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

B. Administrative Organization of Educational Units

1. Definition

The administrative organization of the University is determined by the educational organization of the University and the instruction, research, service, and other functions of the University. 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 the *Administrative Regulations*. 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, with descriptions of major duties assigned, are described in these *Governing Regulations*. The Board of Trustees must approve major changes in administrative organization.

Each administrative officer is authorized to establish and enforce such policies and procedures as are attendant to delegated administrative duties and to establish administrative and/or advisory committees to aid in the performance of assigned functions.

2. Dean of the Graduate School

The Dean 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 Dean provides general planning, guidance, review, and coordination for all of the University's endeavors in graduate education. The Dean appoints regular and associate members of the Graduate Faculty. The Dean 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 Dean shall speak for the Graduate Faculty. In the event that the Dean believes it necessary to depart from the recommendations of the Graduate Faculty, the Dean shall communicate the Graduate Faculty's recommendation as well as the Dean's recommendation, stating the reasons for differing from the Graduate Faculty's opinion, and notify the Graduate Faculty of such action.

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6. 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.

7. Director/Chair of Interdisciplinary Instructional Programs

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

The 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 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.