

University Senate Agendas, 2014-2015

All meetings are from 3:00 - 5:00 pm in the Auditorium of W. T. Young Library unless otherwise noted.

Monday, May 4, 2015

TIME CHANGE: The Senate meeting on May 4 will begin at **2 pm**.

1. Minutes from April 13, 2015 and Announcements
2. Officer and Other Reports
 - a. Chair
 - b. Vice Chair
 - c. Parliamentarian
 - d. Trustee
3. Degree Recipients
 - a. May 2015 *In Memoriam* Honorary Degree List
 - b. May 2015 Degree List
 - c. Early August 2015 Degree List
 - d. Motion to Amend Something Previously Adopted (May 2014 Degree List): Rescind Double Major and Bestow Dual Degree (December 2014 Degree List)
4. Committee Reports
 - a. Senate's Academic Programs Committee (SAPC) - Margaret Schroeder, Chair
 - i. Proposed New BS Neuroscience
 - ii. Proposed New Undergraduate Certificate in Distillation, Wine and Brewing Studies ([PDF](#))
 - iii. Proposed New UK BLUE (3+3) Program: Arts and Sciences BA and College of Law JD [*to be discussed pending receipt of SAPC recommendation*]
 - iv. Proposed New Graduate Certificate in Eurhythmics [*to be discussed pending receipt of SAPC recommendation*]

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- v. Proposed New Graduate Certificate in Biostatistics
- vi. Proposed New Undergraduate Certificate in Directing Forensics
- b. Senate's Academic Organization and Structure Committee (SAOSC) - Ernie Bailey, Chair
 - i. Proposed Name Change of the Center for Interprofessional Health Education, Research and Practice to the Center for Interprofessional Health Education
- c. Senate's Admissions and Academic Standards Committee (SAASC) - Greg Graf, Chair
 - i. Proposed Change to College of Law Admissions Policy (*Senate Rules 4.2.3.1.A*)
 - ii. Proposed Change to BS Nursing Admissions Change (Early Admission) (*Senate Rules 4.2.2.1*)
- 5. President Eli Capilouto - Update on the University
- 6. Proposed New *Governing Regulation* on Faculty Disciplinary Action (second reading - discussion and vote)
 - a. SUMMARY OF ALL AMENDMENTS
 - b. Clerical Edits
 - c. Senator Tagavi's Amendments
 - d. Senator Grossman's Amendments
 - e. Senator C. Lee's Amendments
 - f. Senator Bailey's Amendments on Behalf of a Non-Senator
 - g. Senator Tagavi's Amendments on Behalf of a Non-Senator
 - h. Senator Xenos' Amendments
 - i. Senator Debski's Amendments

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- j. Senator Porter's Amendments on Behalf of a Non-Senator
- k. Senator Ferrier's Amendments

Next Meeting: September 14, 2015

University Senate
April 13, 2015

The University Senate met in regular session at 3 pm in the Auditorium of W. T. Young Library on Monday, April 13, 2015. Below is a record of what transpired. All votes were taken via electronic voting devices unless indicated otherwise; specific voting information can be requested from the Office of the Senate Council.

Senate Council Chair Andrew Hippisley called the University Senate (Senate) meeting to order at 3:02 pm. He reminded senators to pick up their clickers.

The Chair called for an attendance vote and 60 senators registered their presence.

1. Minutes from March 9, 2015 and Announcements

The Chair reported that no corrections were received by 9 am Friday. There being **no objections**, the minutes from March 9, 2015 were approved as distributed by **unanimous consent**.

There were a couple announcements.

- eCats, UK's curricular proposal system, will see either a rewrite or new system implemented over the summer.
- Apportionment information for Senate college elections has been sent to colleges. The deadline for colleges to send names of elected senators is May 1.
- UK Appreciation Day will be Thursday, May 21, Pieratt Field/Boone Tennis Center from 11 am – 2 pm. The purpose of the event is to express appreciation for employees' work and dedication to the UK community.

2. Officer and Other Reports

a. Chair

The Chair said that the SC took some actions on behalf of the Senate: it waived *Senate Rules 6.1.3.A* on submission of midterm grades; approved a change to the 2015-16 Dentistry calendar, and added a student to the December 2014 due to administrative error on the part of the Graduate School. The SC also approved nominations for area and advisory committees.

The Office of Faculty Advancement asked for SC input into a faculty exit survey, which the SC provided during one of its regular meetings. Finally, the SC approved questions for faculty's survey evaluation of the President's performance. Faculty have until Monday, April 27 to submit their response to the survey.

b. Vice Chair

Vice Chair Christ explained she was soliciting nominations for the annual Outstanding Senator Award. The award is for a faculty member or senator who:

- Has contributed to the Senate by showing active & exemplary service on one or more Senate cmtes during his or her tenure.
- Has made notable substantive contributions in communicating with the Senate and while working with the faculty at large on important issues that impact the faculty as a whole.

- Has given strong voice to faculty issues in Senate meetings, public events, and/or local/regional news media and actively defended the principle of shared governance in University forums.
- Is effective in generating and effecting the Senate's larger agenda and goals.

Christ further explained that current members of SC are not eligible and that nominees need not be currently serving a term in the Senate. The Vice Chair asked that nominations be sent to her by April 21.

c. Parliamentarian

Parliamentarian Seago recalled that there were questions and a little confusion at the last meeting about rescinding or amending something previously adopted, specifically in regards to the report of the ad hoc committee on teacher-course evaluations. Below are the highlights from her presentation.

- There are some motions that cannot be rescinded/amended
 - Motions that have already been carried out and that cannot be undone.
 - Motions to accept resignations or actions electing or expelling a person from membership or office
 - Motions subject to being called up for reconsideration (occurs within the same meeting)
- The motion to rescind:
 - The motion to rescind is used to cancel the motion altogether
 - Can't interrupt a speaker who has the floor
 - Must be seconded
 - Is debatable and can be amended
 - Vote is 2/3 without previous notice, but majority with previous notice
- The motion to amend something previously adopted
 - The motion to amend something previously adopted is used to make a change to a motion by making a simple change or substitution.
 - Can't interrupt a speaker who has the floor
 - Must be seconded
 - Is debatable and can be amended
 - Vote is 2/3 without previous notice, but majority with previous notice
- A two-thirds majority is required if the motion is brought without notice. Notice should be given in the previous meeting.
- If notice is given, then the motion requires a simple majority of the group.

d. Trustee

Trustee Grossman reiterated the Chair's suggestion that senators encourage their constituents to fill out the SC's evaluation of President Eli Capilouto's performance.

3. Update on Strategic Planning Process - Provost Tim Tracy

Provost Tim Tracy gave senators an oral update on the strategic planning process. There was one question from a senator about Senate participation and Provost Tracy said that the draft plan will be available to senators in advance of the campuswide town hall meetings.

4. Committee Reports

a. Senate's Academic Programs Committee (SAPC) - Margaret Schroeder, Chair

i. Proposed Suspension of MA in Theatre

Schroeder, chair of the SAPC, said that the **motion** from the SAPC was that the Senate approve the suspension of the Master of Arts: Theatre, in the Department of Theatre within the College of Fine Arts. Because the motion came from committee, no **second** was necessary.

Schroeder explained the proposal to suspend the MA Theatre. There were no questions from senators.

A **vote** was taken and the motion **passed** with 69 in favor and two opposed.

ii. Proposed New Graduate Certificate in Latin American, Caribbean, and Latino Studies

Schroeder said that the **motion** from the SAPC was that the Senate approve the establishment of a new Graduate Certificate in Latin American, Caribbean, and Latino Studies, in the College of Arts and Sciences. Because the motion came from committee, no **second** was necessary.

Schroeder explained the proposal. There were no questions from senators.

A **vote** was taken and the motion **passed** with 69 in favor and one opposed.

iii. New University Scholars Program: BA Art History and MA Art History and Visual Studies

Schroeder said that the **motion** from the SAPC was that the Senate approve the establishment of a new University Scholars Program of a BA Art History and MA Art History and Visual Studies within the School of Art and Visual Studies in the College of Fine Arts. Because the motion came from committee, no **second** was necessary.

Schroeder explained the proposal. There were no questions from senators.

A **vote** was taken and the motion **passed** with 74 in favor.

iv. Proposed New MS in Finance

Schroeder said that the **motion** from the SAPC was that the Senate approve, for submission to the Board of Trustees, the establishment of a new MS in Finance, in the Department of Finance and Quantitative Methods within the Gatton College of Business and Economics. Because the motion came from committee, no **second** was necessary.

Schroeder explained the proposal. She noted that the effective date (of fall 2016) was incorrect in the proposal – the program will begin in spring 2016. There were no questions from senators.

A **vote** was taken and the motion **passed** with 69 in favor, one opposed and two abstaining.

b. Senate's Admissions and Academic Standards Committee (SAASC) - Greg Graf, Chair

i. Doctoral Committee Composition Change

Graf, chair of the Senate's Admissions and Academic Standards Committee (SAASC), explained the proposal. Greg said that the current policy for doctoral committee compositions was a requirement of four members – three from the home department and one from outside the department. The original proposal also reduced the required number of faculty from within the home department, but SC removed that from the proposal due to concerns about committee size. The Chair noted that because the **motion** to approve the proposed change to doctoral committee compositions came from

committee, no **second** was required. There were a lot of questions from senators – many were unclear about the total number of committee members required, if the change would be imposed upon programs if they did not wish to see such a change, and whether the terms “academic program” and “department” were indeed interchangeable because some departments offer multiple academic degree programs.

Wood **moved** to amend the language of the proposal as follows¹:

This core must include a minimum of two faculty members from the ~~academic~~ graduate program (with one major professor as chair or co-chair), and one representative from outside the ~~academic~~ graduate program ~~(department)~~.

Porter **seconded**. There was additional discussion and then a **vote** was taken on the amendment. The motion **passed** with 66 in favor, six opposed, and one abstaining.

There were additional questions from senators; many were concerned that the proposed change could negatively affect students. A **vote** was taken on the amended proposal and the motion **passed** with 50 in favor and 22 opposed.

The Chair urged senators to get the word out to colleagues about this big policy change at the graduate level. In response to Grossman, the Chair opined that the change was effective immediately.

ii. Doctoral Time Extension Policy

Graf explained the proposal to change the doctoral time extension policy. There were some concerns expressed about the change, particularly for students in field-based disciplines and that it might lead to students taking even longer to complete their program of study. Graf noted that the proposal for the time extension policy merely gave directors of graduate studies the ability to request that a student not have to retake their qualifying exams, but it did not strictly remove that requirement.

The Chair noted that the **motion** on the floor was that the Senate approve the proposed change to the doctoral time extension policy. Because the motion came from committee, no **second** was needed. A **vote** was taken and the motion **passed** with 62 in favor and eight opposed. The Chair again asked senators to share this change with their colleagues.

5. Annual "State of the Libraries" Report - Dean of Libraries Terry Birdwhistell

Libraries Dean Terry Birdwhistell thanked senators for the opportunity to present to the Senate. He said that as his presentation, he had asked Associate Dean for Academic Affairs and Research Stacey Greenwell to offer senators a presentation on the role of Libraries in student instruction. Guest Greenwell talked about initiatives in services provided by Libraries, including Libraries’ instruction program on information literacy, strategies around the same topic, and how to assess effectiveness.

There were no questions from senators and the Chair thanked Dean Birdwhistell and Greenwell for attending.

6. Proposed Changes to *Governing Regulations II* ("Governance of the University of Kentucky")

¹ Strikethrough indicates deleted text and underlines indicate added text.

The Chair invited Marcy Deaton, associate legal counsel, to explain the proposed changes. Guest Dean said that the changes were intended to elevate the Audit and Compliance Subcommittee of the Board of Trustees (Board) to become a committee in its own right, not a subcommittee. Practically, it would make the committee's proceedings more transparent and after the proposed change, the committee's reports would be given to the full Board rather than to its parent committee, the Finance Committee.

The Chair said that the **motion** from the SC was that the SC endorse the proposed changes to *Governing Regulations II*. Because the motion came from committee, no **second** was required. There were no questions from senators.

A **vote** was taken and the motion **passed** with 67 in favor, one opposed and one abstaining.

On a somewhat related matter, Tagavi commented that the language already in *Governing Regulations II* states that the Board chair and vice chair are automatic members of the Executive Committee, but that Kentucky Revised Statutes (KRS) require all Executive Committee members to be elected. Deaton thanked Tagavi for his comment. She said she would take Tagavi's comments under advisement and discuss them with General Counsel.

7. Proposed New Governing Regulation on Faculty Disciplinary Action (first reading - discussion only)

The Chair explained that Dave Watt (ME/Molecular and Cellular Biochemistry), who also is a member of the Senate Council (SC), chaired the SC's ad hoc Committee on Faculty Disciplinary Action. The Chair asked Watt to explain the proposed new *GR*.

Watt offered some background information. President Eli Capilouto wrote to the SC in September to ask for consideration of a faculty disciplinary policy. That memo triggered the creation of the ad hoc Committee on Faculty Disciplinary Action (Committee). Watt thanked the members of his Committee and asked that they stand and be recognized: Marcy Deaton (associate legal counsel); Connie Wood (AS/Statistics, chair of Senate's Rules and Elections Committee); Liz Debski (AS/Biology); David Pienkowski (EN/Biomedical Engineering); and John Wilson (ME/Behavioral Science, faculty trustee). Watt said that he wanted to identify Committee members so that they would be recognizable to senators. As senators review the proposed new *GR* over the next month, Watt suggested senators contact Committee members, including him, to discuss concerns. Watt thanked General Counsel Bill Thro for the many hours Thro spent discussing the proposed *GR* with Watt. Watt also thanked President Eli Capilouto, who met with Watt and the Chair on several occasions. Watt reminded senators that the President has the authority to issue *Administrative Regulations (AR)*; President Capilouto could have merely issued an AR on faculty disciplinary action, but instead chose to come to the Senate to request the Senate's input into the regulation and Watt expressed appreciation for that. Watt said he would pose five questions, which he would immediately answer; the intent was to help broadly frame the proposed new *GR*.

Question #1: Do other universities have similar policies?

Answer: Yes. These types of policies exist, perhaps not in this exact format, at virtually all the universities reviewed by the Committee. The Committee reviewed many, many other universities.

Question #2: Why do we need this policy? We already have a Code of Faculty Responsibilities in *Senate Rules Section 7*.

Answer: As the Committee delved deeper into discussions, it learned that the Board of Trustees has not delegated to the Senate the authority to develop the Code that is in *Senate Rules (SR)*. As a corollary to the proposed new *GR*, the Senate will need to revise that *SR*. Watt said the strongest argument in favor of having a *GR* like this was that faculty are a group of professionals who are best suited to write a code of faculty conduct. Watt said he believed that the Committee members did the absolutely best job they could do to meet the requirements laid out by the President in his September memo to SC as well as balance the need for faculty protections.

Question #3: What doesn't this policy do?

Answer: The proposed *GR* does not mention or address the issue of post-tenure reviews. Watt said he had been concerned for years about the lack of good mechanisms to deal with faculty who have behavioral or mental health issues. The proposed *GR*, however, does not address behavioral or mental health issues.

Question #4: What does this policy do?

Answer: Watt noted that there was a great deal of information on the Senate's website about the proposed *GR* and he encouraged senators to review it.

- The proposed *GR* will apply to everyone, from instructor to president; anyone who holds a faculty rank will be subject to the policy.
- Allegations of misconduct can come from virtually any source – local law enforcement could notify UK Police about a faculty member, or a report could come from a faculty colleague or a parent calling from overseas to complain about a faculty member's treatment of a student. Watt explained that allegations will come from a variety of sources and people. Deans, in consultation with General Counsel, will evaluate any allegation. If a decision is made to conduct an investigation, it will be done by UK's internal professionals, such as Internal Audit or Equal Opportunity Office, which will issue a written report that will be provided to the accused faculty member and that person's dean.
- The Committee hoped that the predominant action taken after an allegation will be mediation, in which the accused faculty member and the dean will meet and attempt to come to a decision about what transpired and what sanctions the faculty member may face if found guilty. Based on his length of service to UK and experience from the administrative roles in which he served, Watt said that he did not expect many situations that would even proceed to mediation, let alone progress to the next step.
- If mediation does not work, the next step is to send the issue to a panel of faculty. There will be a faculty disciplinary pool, comprised of 25 faculty chosen by the President from a list of 36 nominees submitted by the SC, which will be representative of title series and colleges. If mediation does not work, an inquiry panel will be named, which will be similar in function to a grand jury.
- The inquiry panel will review the professional investigative report. The inquiry panel will be comprised of three members: one faculty member chosen from the disciplinary pool, a representative from Human Resources (HR) and a representative from the Provost's office. The

President and General Counsel desired assurance in the form of the HR representative that the sanctions imposed on a faculty member found guilty will match what would happen to a staff member in a similar situation. The Provost's representative will be present to ensure treatment of faculty members do not differ dramatically across colleges. The inquiry panel will not determine innocence or guilt, but rather will review the evidence and determine if there are grounds for probable cause. If so, the case will proceed to the next step.

- If the inquiry panel believes there is sufficient evidence to continue the disciplinary process, the next step is to the faculty hearing panel. The faculty hearing panel will be comprised of five faculty, also chosen from the faculty disciplinary pool. The burden of proof will be "clear and convincing evidence," which legalistically falls between the one extreme of "preponderance of evidence" (over 50%) and the other extreme of "beyond a reasonable doubt." The faculty hearing panel will determine if there is sufficient evidence for the accused faculty member to be charged as guilty, or if the faculty member should be declared innocent. If the hearing panel deems the faculty member to be guilty, the hearing panel will also make a recommendation for sanctions, which are listed in the proposed *GR*.
- The recommendation of the hearing panel will go to the Provost, who will ultimately be the individual who determines Surely it's the hearing panel who determines guilt?the sanctions to be imposed.
- If a dean is unhappy with the hearing panel's recommendation, either for guilt or for innocence, the dean can appeal the decision of the hearing panel to the faculty appeals panel. The inclusion of a mechanism for a dean to appeal innocence was intended to offer parallel construction with respect to a faculty member's ability to appeal, too. Within seven days of the hearing panel's decision, either the faculty member or the dean can appeal the decision to the appeals panel. The appeals panel will be comprised of three individuals: the Provost, the chair of the Senate Council, and the Academic Ombud. These three will review the briefs that were filed in the case. Watt thought the dean's appeal could most likely occur if the hearing panel acts improperly, such as flipping a coin to determine the outcome of a case, or collusion among the faculty on the hearing panel. Watt opined that UK tended to write regulations around sometimes unrealistic "what if" scenarios and said he was not as concerned as some of his colleagues with the prospect of a dean appealing a faculty member's innocence. Watt suggested that the harshest critics of a faculty member going through the disciplinary action process would be the faculty on the hearing panel.
- After the appeals panel renders a recommendation, the Provost will determine the sanction(s) should be. If the accused faculty member is found guilty by the hearing panel and does not appeal to the appeals panel, the next step after the hearing panel is also for the Provost to determine the sanction(s). A faculty member can appeal sanctions to the President. Watt said it was virtually impossible to write down every possible misbehavior and a corollary punishment, so a sentence was included that requires a sanction to be commensurate with the misconduct. While it does require a certain level of trust, Watt said he was comfortable with it.
- The proposed *GR* makes it clear that retaliation of any kind is not allowed. Further, if there are instances in which it is best for the faculty member to not be on campus while the investigation is ongoing, there is a clause that allows for involuntary leave with pay. According to the

language of the proposed *GR*, only the Provost can place a faculty member on involuntary leave with pay, although there are qualifications for such an action.

Question #5: What does Dave Watt recommend?

Answer: Watt noted that there would be no vote during the day's meeting, but rather was an opportunity for free and open discussion. Watt said he would do his best to answer questions and invited Committee members and SC members, who played a real role in getting the proposed *GR* to its current state, to do the same. Watt said he and others had spent many hours on words and phrases in the proposed *GR*. It includes compromise language and some sections were the subject of arguments back and forth. Watt asked that senators talk to Committee members and SC members and circulate the proposed *GR* widely among colleagues. He asked that senators confine their comments to the major issues – necessary clerical edits will be dealt with, but he hoped senators would spend more time productively discussing the substantive issues of the proposed *GR*.

In response to a question from Prats about when something will be handled internally and when something will be handled by local law enforcement, Watt said that allegations could come from a variety of directions. The dean is the ultimate recipient of allegations, not a department chair. The dean will consult with General Counsel, which will help the dean determine if the situation warrants immediately informing the police. A secondary consideration will be whether or not the faculty member can remain on campus during the investigation.

Grossman commented about the kinds of behavior covered by the policy and the rules faculty must adhere to. Watt read from the paragraph that addressed that (second paragraph under "Introduction," lines 16-20). Watt noted that it would be helpful if UK developed a policy office that could better coordinate UK's *GRs*, *ARs*, Human Resources Policies and Procedures, the Business Procedures Manual, and the *Senate Rules*. Because there is no consistent definition of faculty in UK's regulations and policies, there is a specific definition in the proposed *GR*.

Firey expressed concern with the principal behind a dean's ability to appeal innocence. While she appreciated the symmetry in appealing, a dean's ability to appeal an innocent decision seemed to fly in the face of protection against double jeopardy. Watt replied that the issue Firey raised was the most hotly contested part of the proposed *GR*. A dean will be able to appeal innocence, but only based on substantive errors in the process or errors of fact or law and such a claim must be substantive and in writing for the appeal of innocence to go forward. Watt noted that the President and General Counsel were insistent that the ability of a dean to appeal innocence be included. Wood said the Committee's final report did not include a dean's appeal and she expressed empathy with Firey's concern. She noted Watt's comments and referred Firey to the language in part F [in Section IV.F.9, lines 292-29] which strictly limited the grounds on which a dean can appeal a faculty member's innocence. She added that there was no mechanism to introduce new evidence against the faculty member in the appeals stage.

Brion supported the idea of having the inquiry panel composed of an equal balance of administrators and faculty, as opposed to having one faculty member and two administrators. Watt noted that if a dean is accused, there will be three faculty and the two administrators. He said that because the group was merely deciding if the case should go forward, it was okay to have a simpler composition.

Tagavi said he preferred that the inquiry panel composition for a dean (three faculty and an HR representative and Provost's representative) was fairer for all faculty, as opposed to the three-member

inquiry panel for rank-and-file faculty. Tagavi also spoke against the investigative bodies offering an opinion of guilt or innocence – he said the role of the investigative bodies should be factual, not opinionated. Watt thanked Tagavi for his comment and noted that that language [lines 102-104] was from an older version and should be changed so that the investigative body does not render an opinion of guilt or innocence nor does it suggest possible sanctions.

The Chair noted that if senators had changes they would like to suggest, they should send such edits to the Chair in writing; the Chair will ensure the proposed amendments are distributed to senators in advance of the meeting. In response to a query from Tagavi, Parliamentarian Catherine Seago explained that the *SR* do speak to having amendments submitted in writing, which trumps the lack of that requirement in Robert's Rules of Order (Newly Revised).

Ferrier asked about the division between misconduct in a faculty member's personal life and in their professional life. Watt opined that if a faculty member was alleged to have robbed a fast food restaurant, that situation would likely be handled by the local police, not the proposed *GR*.

Truszczynski expressed concern about the vague standards of behavior that faculty must adhere to, saying that the policy was essentially an answer to a vaguely defined problem. While faculty are not governed by different ethical standards from others on campus, so Mirek said he would prefer to see a policy that addressed the University community as a whole, not just faculty. The proposed *GR* makes it appear that faculty need the policy. In addition, due to Watt's comments about mediation happening in the majority of cases, Mirek did not see how the proposed *GR* would solve a problem that the current regulations do not already take into consideration. Watt explained that the Code of Faculty Conduct section in the *SR* was invalid, so that policy was not in effect. Human Resources (HR) does have policies on conduct and some do expressly mention faculty. For example, the alcohol policy refers only to "staff employees" and "students," while the drug abuse policy refers to "employees," which presumably includes faculty. Watt said that staff employees are subject to HR disciplinary policies and he opined that the faculty needed a disciplinary policy, too.

Brion expressed concern that the proposed *GR* could be used to prevent a faculty member from doing their job – a faculty member could be locked out of their lab or office and barred from student contact, based on an unproven allegation. Brion said that would violate the assumption of being innocent until proven guilty. Watt replied that if a member of a lab alleges that a faculty member has committed scientific misconduct, someone from Legal Counsel and the dean's office will seize related notebooks, files, hard drives, etc. as a part of the investigation. That type of situation, however, is not addressed in the proposed *GR* – scientific misconduct has its own regulation that guides actions surrounding scientific misconduct. Wood commented that an aspect to protect faculty was inserted into the section on involuntary leave with pay – the language now parallels the language that of leaves with pay in another *GR*. Voluntary leaves with pay must go to the Board for approval, so the proposed *GR* was changed to require involuntary leaves with pay to also go to the Board. Wood reminded Brion that any instance of impinging upon a faculty member's academic rights is appealable to the Senate's Advisory Committee on Privilege and Tenure (SACPT).

Tagavi said he liked the language that required a sanction to be commensurate with the act, but said there should be another overarching principle that the sanctions cannot prevent a faculty member from doing their job. If an associate professor is sanctioned with loss of their laboratory and removal of a stipend, when the faculty member receives their next performance review or post-tenure review, they will receive a low score that is not their fault. If a sanction restricts a faculty member from adequately

performing their job duties, the faculty member should not be expected to carry out their duties. Watt commented that years ago he was told not to do anything that he would be uncomfortable reading about in the paper. If a faculty member does something questionable, Watt said he did not see how or why the University would have an obligation to protect that faculty member's teaching space or laboratory. Tagavi said that what he meant was that the University could not say that a faculty member did not perform as expected if the University prevented the faculty member from performing. He said another point of concern for him pertained to a sanction being enacted in such a way as to equate to a revocation of tenure. Reprimanding a faculty member is more easily done than a revocation of tenure. If a faculty member received a 99% reduction in their salary for the time-delimited period of 99 years, it would be equivalent of revocation of tenure without going through the hoops. Watt said that if one can believe that sanctions will be commensurate with the action, then it would be unlikely to find the Provost imposing a 99% salary reduction for 99 years. If such a punishment were imposed, it would be for a grossly serious situation of misconduct. Watt pointed out that the Engineering professor who was recently found to be pilfering University funds did not have his tenure revoked, but rather he resigned when confronted with the evidence. Watt said that a faculty member who has behaved that badly will typically choose to resign. There is no record of any faculty member at UK having their tenure revoked – all those who have behaved very badly in the past chose to resign.

The Chair noted that it was getting late and that many members had since left the room. He suggested senators read the proposed *GR* if they had not already done so. He said that amendments should be submitted to him in writing. Steiner said that the issue of the proposed *GR* was very important and the discussion should have started earlier in the meeting. He said the agenda had too many pro forma items on it prior to the proposed new *GR* discussion. The Chair explained that the extended discussion on one of the agenda items had not been anticipated by the SC.

Grossman asked if non-senators could submit amendments. The Chair said that non-senators could contact a senator to submit an amendment if there was a desire to do so. Debski asked if the SC would vote on which amendments to send forward to the Senate. The Chair replied that all amendments submitted in advance, in writing, will be discussed by the Senate.

The meeting was adjourned at 5:15 pm.

Respectfully submitted by Alice Christ,
University Senate Secretary

Invited guests present: Marcy Deaton and Stacey Greenwell.

Absences: Adams, I., Adams, M., Allday, Anderson, Bailey, P., Bird-Pollan*, Birdwhistell, M., Blackwell, Bondada*, Brennen, Browning, Campbell, Cassis, Clark, Cox, Crampton, de Beer, Dunn, Folmar, Fox, Grace, Hallam, Healy, Ingram, Jackson, J., Jackson,, N.*, Jong*, Kellum*, Lacki*, Lewis, Martin, McCulley*, McManus, Mock*, Murthy, Oberst, O'Hair, D.* , O'Hair, MJ, Osorio, Peffer*, Pienkowski, Prather, Profitt, Rabel, Real, Rey-Barreau, Richey, Royse, Sanderson, Sekulic*, Shen, Smyth, Stratton*, Turner, Vasconez*, Vosevich, Walz, Wilhelm, Witt, Wolken, Xenos*.

Prepared by Sheila Brothers on Tuesday, April 28, 2015.

University Senate
May 4, 2015

Rescind Double Major and Bestow Two Degrees for Student AC-41

Background: The College of Arts and Sciences has contacted the Senate Council office and acknowledged a case of administrative error regarding the May 2014 degree list.

Student AC-41 graduated from UK in May 2014 with a double major (Political Science and International Studies, both in the College of Arts and Sciences). Arts and Sciences asserts that the student may not have been advised of the difference between a double major and two degrees prior to applying for graduation, with the latter being the preferred category.

Student AC-41 had completed all the requirements for a BA Political Science and a BA International Studies. Arts and Sciences is petitioning Senate to rescind the double major and instead award the student two degrees, due to their administrative error.

Recommendation: that the Senate move to amend something previously adopted (BA Political Science, May 2014 degree list) by rescinding the double major degree for student AC-41 and in its place bestowing a BA Political Science and BA International Studies.

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Monday, April 13, 2015 3:17 PM
To: Brothers, Sheila C; Hippisley, Andrew R
Subject: BS in Neuroscience

Proposed New BS: Neuroscience

This is a recommendation that the University Senate approve, for submission to the Board of Trustees, the establishment of a new BS degree: Neuroscience, in the Department of Biology within the College of Arts & Sciences.

There is not an updated/revised proposal.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of Mathematics Education | [STEM PLUS Program Co-Chair](#)
| [Department of STEM Education](#) | [University of Kentucky](#) | [www.margaretmohrschroeder.com](#)



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KENTUCKY

College of Arts and Sciences

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OFFICE OF THE
SENATE COUNCIL

January 26, 2013

Dear Undergraduate Council:

I am pleased to express the College's strongest support of the proposed BS degree in Neuroscience. The College of Arts and Sciences is excited for the opportunity to partner with the College of Medicine and offer this new degree that will give University of Kentucky students a chance to engage in the multidisciplinary topics of Anatomy and Neurobiology, Biology, and Psychology. The enclosed proposal has been carefully vetted by the College's Educational Policy Committee in close consultation with the Dean's office.

The proposed degree program in Neuroscience will be unique within the College of Arts and Sciences for the diverse and multidisciplinary nature of course offerings and collaborating faculty across colleges. The College of Arts & Sciences is well equipped to provide core courses for this major with a variety of faculty members contributing from both the Department of Psychology and the Department and Biology. In addition, students will be able to take advantage of relevant coursework in Neuroscience within four other Colleges. This proposed degree program is one of the first Bachelor's degree programs in Neuroscience in the state of Kentucky.

Nearly three quarters of our University benchmark institutions offer a major in Neuroscience. As an academic and scientific discipline, neurosciences clearly represent a topic of growing interest and importance, one that will attract a significant number of undergraduate students. Students in this program will develop critical thinking, communication, and independent study skills with broad, multidisciplinary training in basic and applied scientific aspects of Neuroscience. Students will also have the opportunity to receive extensive training in applied aspects of Neuroscience including such topics as, central nervous system injury, drug addiction, aging, and delivery of therapeutic agents using nanotechnologies.

The College of Arts and Sciences fully supports this proposed major and is excited to partner with the College of Medicine.

Sincerely,



Mark Lawrence Kornbluh
Dean

PROPOSAL FOR NEW UNDERGRADUATE DEGREE PROGRAM

1. This form has two sections. Section A contains information required by the University Senate and Registrar's office and Section B contains information required by two external entities, the CPE (Council on Postsecondary Education) and SACS-COC (Southern Association of Colleges and Schools Commission on Colleges). Although only Section A is required for University Senate approval, every question must be answered to receive CPE approval. Please write "not applicable" wherever that is the appropriate response, leaving no area blank.
2. The CPE requires that a pre-proposal be submitted after a proposed program has achieved approval at the college level. Answers to questions identified with a * by the question number on this form should be used for the CPE's pre-proposal. Such questions are in both Section A and Section B. More information about the CPE's pre-proposal process can be obtained by emailing institutionaleffectiveness@uky.edu.
3. Once approved at the college level, your college will send the proposal to the appropriate Senate academic council (HCCC and/or UC) for review and approval. Once approved at the academic council level, the academic council will send your proposal to the Senate Council office for additional review via a committee and then to the Senate for approval. Once approved by the Senate, the Senate Council office will send the proposal to the appropriate entities for it to be placed on an agenda for the Board of Trustees. The contact person listed on the form will be informed when the proposal has been sent to committee and other times as appropriate.

SECTION A – INFORMATION REQUIRED BY UNIVERSITY SENATE

1. Basic Information: Program Background and Overview

1a	Date of contact with the Director of Institutional Effectiveness (IE): (institutionaleffectiveness@uky.edu)	10-28-14
1b	Home College: <i>Arts And Sciences</i>	
1c	Home Educational Unit (school, department, college ¹): <i>Biology</i>	
1d*	Degree Type (BA, BS, etc.): <i>BS</i>	
1e*	Program Name (Interior Design, Social Work, etc.): <i>Neuroscience</i>	
1f*	CIP Code (provided by <u>Undergraduate Council</u> chair or Institutional Effectiveness): <i>26.1501</i>	
1g	Is there a specialized accrediting agency related to this program?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	If "Yes," name:	
1h*	Requested effective date: <input checked="" type="checkbox"/> Semester after approval. OR <input type="checkbox"/> Specific Date ² : _____	
1i	Anticipated date for granting first degree(s): <i>Spring, 2017</i>	
1j*	Individual responsible for submission of, completion of, and answering questions about the proposal ("contact person"):	
	Name: <i>Mark Prendergast</i>	Email: <i>prender@uky.edu</i> Phone: <i>257-6120</i>

2. Program Overview

¹ Only interdisciplinary undergraduate degrees may be homed at the college level.

² Programs are typically made effective for the semester following approval. No program will be made effective unless all approvals, up through and including Board of Trustees and CPE approval, are received.

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2a*	<p>Provide a brief description of the proposed program. (300 word limit)</p> <p><i>The Bachelor of Science degree program in Neuroscience will provide undergraduate students with an opportunity to engage in the in-depth study of Neuroscience from a uniquely interdisciplinary perspective. Students will receive extensive exposure to fundamental and applied aspects of Neuroscience through classroom and laboratory-based interactions with faculty members and research staff from several departments housed in the Colleges of Arts and Sciences and Medicine, including Biology, Anatomy and Neurobiology, and Psychology. The scope of this training spans the entirety of key topics in Neuroscience and includes examination of biological systems ranging from cellular/molecular neuroscience; neurophysiology; neuroanatomy; and integrated neuroscience including behavior. Classroom-obtained Neuroscience principles will be applied in a required six credit independent research project to be conducted using state of the art technological and methodological scientific approaches in the research laboratory of a faculty member of the University. In employing this multidisciplinary, applied approach to the study of Neuroscience, this curriculum will promote development of critical thinking, communication, and independent scientific skills necessary for students to pursue lifestyles and careers in Neuroscience that are economically viable, socially desirable and of significant National and local interest.</i></p>
2b*	<p>(similar to 11a) List the program objectives. These objectives should deal with how students will benefit from the program, both tangibly and intangibly. Give evidence that they will benefit. (300 word limit)</p> <p><i>It is expected that this program will attract students specifically interested in a career in neuroscience at the research, education, health care or public policy levels. The objective of our program is to provide students with the interdisciplinary knowledge and technical skills in neuroscience needed for employment in these areas.</i></p> <p><i>Since understanding normal brain and nervous system functions and overcoming/treating their dysfunction is of growing concern to our society, many careers in neuroscience are experiencing sustained growth. To cite just a few of the many examples, the American Psychological Association has recently drawn attention to the critical shortage of both civilian and military mental health professionals needed to treat such diverse problems as post-traumatic stress syndrome and traumatic brain injury. Opportunities in regenerative medicine are increasing exponentially and currently run the gamut from research to clinical application to marketing of therapies that impact both peripheral and central nervous system repair. Finally, artificial intelligence and robotics are predicted to permeate wide segments of daily life by 2025 and advancements in both fields have benefited immensely from a neuroscience perspective.</i></p> <p><i>While all students in this major may not decide to pursue careers specifically in neuroscience after their graduation from this program, this field impinges upon many scientific, educational and public health career choices. Thus, the training and knowledge that they obtain in our program will be broadly beneficial to them. Critical thinking and development of problem solving skills is also emphasized in the program and will be an intangible benefit to our students no matter their career choice.</i></p>
2c*	<p>List the student learning outcomes (SLOs) for the proposed program and include the SLO for the Graduation Composition and Communication Requirement (GCCR). (300 word limit) (More detailed information will be addressed in a subsequent question.)</p> <p><i>Students completing the Neuroscience Major will:</i></p> <ul style="list-style-type: none"> • <i>Acquire and integrate knowledge regarding the structure and function of the nervous system at various levels including anatomical, behavioral, physiological, cellular, biochemical and molecular.</i> • <i>Describe and identify methods and tools used in neuroscience research and identify the power and limitations of various approaches and methodologies</i> • <i>Investigate challenging research questions and develop critical thinking skills.</i> • <i>Formulate hypotheses, design experiments to test the hypotheses, analyze data, interpret results, and critically evaluate the existing literature.</i> • <i>Effectively communicate results of scientific experiments in both written research papers/reports and oral presentations</i> • <i>Identify the ethical and professional standards and regulations which govern neuroscience investigations using cells, animals, and humans.</i>

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2d	Describe the rationale and motivation for the program. Give reference to national context, including equivalents in benchmark institutions. (150 word limit)
	<p><i>The University is home to more than twenty academic units demonstrating commitment to the study of Neuroscience. Despite the widespread presence of undergraduate students in laboratories conducting research in Neuroscience across campus and the enrollment of nearly seventy students in the Neuroscience minor program, no cohesive undergraduate training program in Neuroscience exists at the University. In contrast, eight of the eleven University benchmark institutions offer a major in Neuroscience. Further, in 2013 the Federal government proposed the collaborative research program termed the "Brain Initiative", which aims to map the function of every nerve cell in the human brain. Projections suggest that this initiative should provide as much as \$300 million per year in research support over the next ten years. Thus, Neuroscience as an academic and scientific discipline clearly represents a topic of burgeoning interest and importance and one that will clearly attract a significant number of undergraduate students.</i></p>
2e	Describe the proposed program's uniqueness within UK. (250 word limit)
	<p><i>The proposed degree program in Neuroscience will be highly unique given the diverse and multidisciplinary nature of course offerings, collaborating faculty and faculty of record. The many departments offering relevant coursework in Neuroscience span five Colleges, including Arts and Sciences, Medicine, Agriculture, and Engineering. The proposed degree program is the first Bachelors degree program to unify these diverse approaches to the study of Neuroscience into a single curriculum. Students in this program will develop critical thinking, communication, and independent study skills with broad, multidisciplinary training in basic and applied scientific aspects of Neuroscience. Students will also have the opportunity to receive extensive training in applied aspects of Neuroscience including such topics as, central nervous system injury, drug addiction, aging, and delivery of therapeutic agent using nanotechnologies. This training in applied aspects of Neuroscience will be achieved by completion of a required six credit independent research project completed in the laboratory of a faculty member working in the field of Neuroscience.</i></p>
2f	Describe the target audience. (150 word limit)
	<p><i>The undergraduate neuroscience degree program will educate students planning on graduate studies in neuroscience and related subdisciplines; students who plan to pursue a professional degree in a health related field such as clinical psychology, medicine, pharmacy, public health, physical therapy, and veterinary medicine; students interested in employment in academia and industry; and students who plan to enter related fields including scientific and medical publishing, science advocacy and government relations, and non-profit or professional organizations.</i></p>
2g*	Does the program allow for any tracks (a.k.a. options)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	If "Yes," name the track(s). (Specific course requirements will be described in a subsequent section.)
	Track #1:
	Track #2:
	Track #3:
	Track #4:
	Track #5:
	Track #6:

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2h	Does the program <u>require</u> a minor?	Yes ³ <input type="checkbox"/>	No <input checked="" type="checkbox"/>
	If "Yes," what is the name of the minor?		
2i	Are necessary resources available for the proposed new program?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	<i>(A more detailed answer is requested in Section A, part 4.)</i>		
2j	Describe how the proposed program will be administered, including admissions, student advising, retention, etc. <i>(150 word limit)</i>		
	<i>The College of Arts and Sciences does not have selective admissions. Students will be admitted into the major upon declaring Neuroscience as their major. Freshman and sophomore students will be advised by a professional advisor in Arts and Sciences. Junior and senior students will be advised by faculty of record, who will receive training by the program directors, and through faculty advising workshops provided by the College of Arts and Sciences.</i>		
2k	Are multiple units/programs collaborating to offer this program?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	If "Yes," please discuss the resource contribution(s) from each participating unit/program. <i>(150 word limit)</i> <i>(Letters of support will be addressed in subsequent sections.)</i>		
	<i>The Neuroscience Major reflects a multidisciplinary collaboration among several departments and colleges. Discussions for an interdisciplinary Neuroscience major have been taking place for several years among sub-groups of neuroscientists on campus. Dr. Vinnie Cassone (BIO) facilitated efforts to bring all of the neuroscientists interested in working towards this objective together. The new major is to be housed in Biology and has been designed with the input of the chairs and faculty from Anatomy and Neurobiology, Biology, Chemistry, and Psychology, as well as Physics, Biomedical Engineering, and the Director for Undergraduate Studies in Biology. The chairs of each of the above departments have agreed to offer the pre-major and major coursework required, including the faculty effort to teach the courses. The curriculum was designed by Drs. Debski (BIO), Geddes (ANA), and Prendergast (PSY), who were appointed Co-Directors of the program by the Dean of A&S.</i>		
2l	List all UK programs ⁴ which the proposed program could be perceived as replicating. Give a rationale for why this is not duplication, or is a necessary duplication. <i>(250 word limit)</i>		
	<i>This proposal represents the collaboration of several Colleges and Departments that offer a single or small number of courses that are relevant to Neuroscience. Presently, no cohesive degree program integrating these courses exists.</i>		
2m	The faculty of record is the faculty body responsible for ALL aspects of the program, including courses, credit hours, rigor, changes to the program, etc. Please identify the program's <i>faculty of record</i> by choosing ONE of the four scenarios below. For more information on each faculty of record scenario, visit http://www.uky.edu/Faculty/Senate/Forms/UndegDegPgm_Help.html .		
	<input type="checkbox"/>	Scenario 1	
			OR
	<input type="checkbox"/>	Scenario 2	
			OR

³ If "Yes," in conjunction with the submission of this form to the home unit, you must also fill out the form for a new minor and submit it to the home unit.

⁴ You must include a letter of support from any other program's home unit. Please convert the letter to a PDF and append to the end of this form.

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<input type="checkbox"/>	Scenario 3	
	OR	
<input checked="" type="checkbox"/>	Scenario 4	
	If Scenarios 2, 3, or 4 are chosen, please provide describe/list/name the members of the faculty of record and describe the voting rights of members of the faculty of record. Include the process and standards for identifying the program director, as well as adding and deleting members of the faculty of record. (150 word limit)	
	<i>The faculty of record are all faculty teaching a regularly scheduled neuroscience course in the program (i.e. neuroscience electives or the required neuroscience lab). Faculty hold primary appointments in several different departments and colleges (see appended list). They will have equal voting rights and control over changes and/or additions to the major curriculum. Neuroscience course additions to the curriculum will automatically admit the instructors of those courses to the faculty of record with full voting privileges. Failure to teach any neuroscience course in a three year period will result in the forfeiture of voting rights for a faculty of record member. The Director of the Program will be appointed by the Dean of Arts & Sciences after consultation with the program's advisory boards. Currently, Drs. Mark Prendergast (Dept. of Psychology), Elizabeth Debski (Dept. of Biology) and Jim Geddes (Dept. of Anatomy and Neurobiology) serve as co-directors of the program. They were appointed to 3 year terms in July, 2014.</i>	
2n	Will the program have an advisory board ⁵ ?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
	If "Yes," please describe the standards by which the faculty of record will select members of the advisory board, the duration of service on the board, and criteria for removal. (150 word limit)	
	<i>The advisory board will be elected for three year terms by the faculty of record from a slate of candidates nominated by that faculty. Removal from this board will occur only if the elected member resigns their seat or fails to regularly attend/participate in board meetings. In these cases, an election will be held to fill the vacated board seat. The board will provide non-binding, informed input to the Directors on issues related to assessment, course formatting, development of new courses and evaluation of teaching faculty.</i>	
	If "Yes," please list below the number of each type of individual (as applicable) who will be involved in the advisory board.	
	2	Faculty within the college who are within the home educational unit.
	2	Faculty within the college who are outside the home educational unit.
	2	Faculty outside the college who are within the University.
	2	Faculty outside the college and outside the University who are within the United States.
		Faculty outside the college and outside the University who are outside the United States.
	2	Students who are currently in the program.
		Students who recently graduated from the program.
		Members of industry.
		Community volunteers.
		Other. Please explain:
	10	Total Number of Advisory Board Members
3. Delivery Mode		UK DLP and eLearning Office ⁶
3a*	Initially, will any portion of the proposed program's core courses be offered via	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

⁵ An advisory board includes both faculty and non-faculty who are expected to advise the faculty of record on matters related to the program, e.g. national trends and industry expectations of graduates.

⁶ For questions about alternative delivery modes, please contact UK's Distance Learning Programs and e-Learning office (URL above).

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	distance learning ⁷ ?		
	If "Yes," please indicate below the percentage of core courses that will be offered via distance learning.		
(check one)	1% - 24% <input type="checkbox"/>	25% - 49% <input type="checkbox"/>	50% - 74% <input type="checkbox"/> 75 - 99% <input type="checkbox"/> 100% <input type="checkbox"/>
	NOTE: Programs in which 25% or more of the program will be offered via distance learning may need to submit a <u>substantive change prospectus</u> to SACS. Please contact institutionaleffectiveness@uky.edu for assistance. <i>The prospectus is required by SACS, but it is NOT required for Senate review.</i>		
3b*	If <i>any</i> percentage of the program will be offered via the alternative learning formats below, check all that apply, below.		
	<input type="checkbox"/>	Distance learning.	
	<input type="checkbox"/>	Courses that combine various modes of interaction, such as face-to-face, videoconferencing, audio-conferencing, mail, telephone, fax, email, interactive television, or World Wide Web.	
	<input type="checkbox"/>	Technology-enhanced instruction.	
	<input type="checkbox"/>	Evening/weekend/early morning classes.	
	<input type="checkbox"/>	Accelerated courses.	
	<input type="checkbox"/>	Instruction at nontraditional locations, such as employer worksite.	
	<input type="checkbox"/>	Courses with multiple entry, exit, and reentry points.	
	<input type="checkbox"/>	Modularized courses.	
3c	Give pedagogical rationale for the use of alternative delivery modes in the proposed program. Consider the aspects below and elaborate as appropriate. (200 word limit)		
	<ul style="list-style-type: none"> • Synchronous and asynchronous components. • Balance between traditional and non-traditional aspects. • Hybrid elements. 		
4. UK Resources			
4a*	Will the program's home educational unit require new or additional faculty?		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	If "Yes," provide a plan to ensure that appropriate faculty resources are available, either within UK or externally, to support the program. Note whether the new and additional faculty will be part-time or full-time faculty. If "No," explain why. (150 word limit)		
	<i>The Biology courses required for the program are currently being offered and taught by faculty of record. In addition, the department of Biology is presently searching for a new, tenure-track neuroscientist faculty member. This individual will likely contribute to teaching coursework for the new major.</i>		
	If "Yes," when will the faculty be appointed? (150 word limit)		
4b	Will the program's home educational unit require additional non-faculty resources, e.g. classroom space, lab space, or equipment?		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	If "Yes," provide a brief summary of additional non-faculty resources that will be needed to implement this program over the next five (5) years. If "No," explain why. (150 word limit)		
	<i>The new degree program in Neuroscience proposes the development of a new lecture and laboratory-based course entitled "BIO 305 Introduction to Neuroscience Techniques". The Dean of the College of Arts and Sciences has committed significant, dedicated laboratory space, an annual laboratory consummables budget, and extensive capital equipment to support this course. All other courses in the curriculum will be readily scheduled in the University's existing classroom infrastructure.</i>		

⁷ Per the Southern Association of Colleges and Schools Commission on Colleges (SACS) definition of distance education, distance education is a formal educational process in which the majority of the instruction (interaction between students and instructors and among students) in a course occurs when students and instructors are not in the same place. Instruction may be synchronous or asynchronous.

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4c	Will the program include courses from another educational unit(s)?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
If "Yes," list the courses and identify the other educational units and subunits that have approved the inclusion of their courses. (150 word limit)			
<p><i>ANA 309, ANA 442G, ANA 417G, ANA 410G, ANA516, BCH 401G, BME 579, CGS 500, CSD 571, CHE 105, CHE 111, CHE 107, CHE 113, CHE230, CHE 231, CHE 232, CHE 233, CHE 550, CHE 552, CHE 556, PHY 211, PHY 213, PHY 231/241, PHY 232/242, PSY 312, PSY 456. The departments of Chemistry, Biochemistry, Anatomy and Neurobiology, Biomedical Engineering, Physics, and Psychology have been consulted and formally approved inclusion of these courses in the curriculum in the emails included as appendices to this proposal. Additionally, the programs in Cognitive Science and Communication Sciences and Disorders have also been consulted and provide letters of approval for inclusion of their courses in this proposal as appendices.</i></p>			
<p>If "Yes," append to the end of this form a letter of support from the appropriate educational unit chair/director from whose unit individual courses will be used. A letter must include the following:</p> <ul style="list-style-type: none"> • Demonstration of true collaboration between multiple units⁸; • Impact on the course's use on the home educational unit; and • Verification that the chair/director has consent from the faculty members of the unit. 			

⁸ Show evidence of detailed collaborative consultation with such units early in the process.

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ion 19) Fill out the faculty roster below for full-time and part-time faculty teaching major core courses in the proposed

FACULTY CIP CODE⁹ List the applicable CIP Code for the faculty member.	MAJOR CORE COURSES IN THE PROGRAM List the major core courses in the program that the faculty member will teach.	OTHER QUALIFICATIONS If applicable, list any other qualifications and comment on how they pertain to the courses in the program the faculty member will teach. If not applicable, mark with "n/a."
5.0101	BIO 302, BIO 305, BIO 394, BIO 426	NA
5.0101	BIO 302, BIO 394, BIO 426	NA
5.0901	BIO 394, BIO 426	NA
5.0101	BIO 394	NA
5.0204	BIO 315	NA
2.2706	PSY 393, BIO 305	NA
	BIO 305	NA
	BIO 302, BIO 394	NA
5.0202	BIO 302, BIO 305, ANA 394	NA
5.0101	ANA 394	NA
2.0501	CHE 231, CHE 232	NA
2.0501	CHE 230, CHE 232	NA
2.0501	CHE 232	NA
2.0501	CHE 230, CHE 232	NA
2.0506	CHE 550, CHE 552	NA
	please see Appendix 4d for additional roster members	

⁹ faculty affairs for specific assistance with Classification of Instructional Programs codes (CIP codes).

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5. Assessment – Program Assessment and Student Learning Outcomes (SLOs)

5a	Referring to program objectives, student benefits, and the target audience (questions 2b and 2f), explain how the <i>program</i> will be assessed, which is different from assessing student learning outcomes. Include how the faculty of record will determine whether the program is a success or a failure. List the benchmarks, the assessment tools, and the plan of action if the program does not meet its objectives. (250 word limit)
	<i>The Directors of the new program will employ an annual program assessment to collect information regarding rates of completed (earned) credits and "time-to-degree" for the student body as a unit. A benchmark goal for mean completed (earned) credits of 67% across the major will be referenced to reflect successful academic progress of the student body and competence of the curriculum. In addition, a benchmark for "time-to-degree" of no more than 150% of required credits will be referenced as an indicator of sufficient programmatic structure. For example, the proposed program will require 120 credit hours. Thus, a benchmark reference for adequate programmatic structure will be reflected as a mean "time-to-degree" of 180 credit hours, for the student body as a unit. This standard is similar to that required by Federal regulations for full-time students to receive financial aid, and is a common reference point for programmatic assessment. Failure to meet these benchmarks will initiate a review of the curriculum, by the faculty of record as a whole, to identify specific courses or programmatic experiences (eg. advising) that may be hindering progress of the student body. A plan of remediation will be generated by the Directors following drafting and a review by all faculty of record.</i>
5b	(related to 2c and 14.c) Based on the SLOs from question 2c, append a PDF of the program’s course map ¹⁰ to the end of this form. (Click HERE for a sample curricular map.)
5c	Append an assessment plan ¹¹ for the SLOs to the end of this form. (Click HERE for a sample assessment plan.)

6. Miscellaneous

6a	Is there anything else about the proposed program that should be mentioned? (150 word limit)
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7. Specific Course Requirements. [S, R]

UK Core Requirements			
		Course Prefix and Number	Number of Credit Hours
7a	I. Intellectual Inquiry (one course in each area)		
	Arts and Creativity	<i>from list</i>	3
	Humanities	<i>from list</i>	3
	Social Sciences	<i>PSY 100 or equivalent transfer</i>	3
	Natural/Physical/Mathematical	<i>CHE 105 and CHE 111</i>	5

¹⁰ Course mapping (or “curricular mapping”) is a representation of how faculty intend to approach and assess each of the student learning outcomes identified for the courses for the degree program, with an emphasis on courses required for all degree candidates. It is a master chart that indicates which objectives are being met, to what extent, and how often. This identifies whether an objective is “introduced,” “developed,” and/or “mastered” within a given course; it may be helpful also to chart any classroom-based assessment measures used to demonstrate that claim.

¹¹ An assessment plan is typically a tabular grid that illustrates the artifacts, rubrics, assessment team, and periods of assessment for the SLOs.

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7b	II. Composition and Communication		
	Composition and Communication I	CIS or WRD 110	3
	Composition and Communication II	CIS or WRD 110	3
7c	III. Quantitative Reasoning (one course in each area)		
	Quantitative Foundations	MA 137 or MA 113	4
	Statistical Inferential Reasoning	STA 296 or PSY 215/216	3 or 8
7d	IV. Citizenship (one course in each area)		
	Community, Culture and Citizenship in the USA	from list	3
	Global Dynamics	from list	3
7e	Total UK Core Hours:		33
7f	Graduation Composition and Communication Requirement (GCCR)		
7f.i	How will the GCCR be delivered in the proposed program? For each box checked, list the prefix and number for the relevant course(s), including any cross-listing(s).		
	<input type="checkbox"/> Single course within the program's home unit.		
	<input type="checkbox"/> Multiple courses within the program's home unit.		
	<input checked="" type="checkbox"/> Single course from outside ¹² the program's home unit.		WRD 204
	<input type="checkbox"/> Multiple courses from outside ¹¹ the program's home unit.		
	<input type="checkbox"/> Combination of course(s) from inside and outside ¹¹ the program's home unit.		
7f.ii	Course	Prefix & Number	Course Status ¹³
	Course #1	WRD 204	Existing
	Course #2 (<input type="checkbox"/> Not applicable.)		Select one....
	Course #3 (<input type="checkbox"/> Not applicable.)		Select one....
	Course #4 (<input type="checkbox"/> Not applicable.)		Select one....
7f.iii	Provide a narrative regarding this program's GCCR, for inclusion in the Bulletin.		
	This course is designed to promote the writing abilities of students in ways that will prepare them to meet the demands of technical writing in educational and occupational settings. A process approach will be emphasized and will involve writing drafts of all work and extensive peer reviews and workshop activities.		
7g	College-level Requirements		
	How will college-level requirements be satisfied?		
	<input checked="" type="checkbox"/> Standard University college requirement	List course(s): Humanities (3 credits), Social Sciences (3 credits), Language courses (6 credits), Free electives (6 credits). GCCR is satisfied by WRD 204.	
	OR		
	<input type="checkbox"/> Specific course(s)	List course(s):	

¹² You must include a letter of support from the other unit. The letter must address delivery mechanisms and resources allocated for the specified GCCR course(s). Please convert the letter to a PDF and append to the end of this form.

¹³ Use the drop-down list to indicate if the course is an existing course that will not be changed, if the course is an existing course that will be changed, or if the course is a new course.

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*Use the grids below to list core courses, electives, courses for a track, etc.
Use the course title from the Bulletin or from the most recent new/change course form.*

7h* Program Major Core Courses. (Required for all students in the program and includes pre-major and pre-professional courses. Check the appropriate box to describe the course as either "program core" or "pre-major/pre-professional".)				
Prefix & Number	Course Title	Type of Course	Credit Hrs	Course Status ¹³
BIO 148	<i>Introductory Biology I</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	3	Existing
BIO 152	<i>Principles of Biology II</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	3	Existing
BIO 155	<i>Introductory Biology Laboratory</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	1	Existing
PSY 100	<i>Introduction to Psychology</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	4	Existing
MA 137	<i>Calculus with Life Sciences Applications</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	4	Existing
CHE 105	<i>General College Chemistry I</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	4	Existing
CHE 111	<i>General College Chemistry Laboratory I</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	1	Existing
CHE 107	<i>General College Chemistry II</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	3	Existing
CHE 113	<i>General College Chemistry Laboratory II</i>	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	2	Existing
BIO 302	<i>Introduction to Neuroscience</i>	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3	Existing
WRD 204	<i>Technical Writing</i>	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3	Existing
CHE 230	<i>Organic Chemistry I</i>	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3	Existing
CHE 231	<i>Organic Chemistry Laboratory I</i>	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	1	Existing
CHE 232	<i>Organic Chemistry II</i>	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3	Existing
CHE 233	<i>Organic Chemistry Laboratory II</i>	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	1	Existing
PHY 211	<i>General Physics</i>	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	5	Existing

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PHY 213	General Physics	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	5	Existing
BCH 401G	Fundamentals of Biochemistry	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3	Existing
BIO 315	Introduction to Cell Biology *alternative to BCH401G or CHE 550/552	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	4	Existing
BIO 305	Introduction to Neuroscience Techniques	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	4	New
MA 113	Calculus I *alternative to MA 137	<input type="checkbox"/> Pgm Core <input checked="" type="checkbox"/> Pre-major/prof	4	Existing
PHY 231	General University Physics *alternative to PHY 211/213	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	4	Existing
PHY 241	General University Physics Laboratory *alternative to PHY 211/213	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	1	Existing
PHY 232	General University Physics *alternative to PHY 211/213	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	4	Existing
PHY 242	General University Physics Laboratory *alternative to PHY 211/213	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	1	Existing
CHE 550/2	Biological Chemistry I and II *alternatives to BCH 401G	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3/3	Existing
BIO 394	Research in Neuroscience *alternative to ANA 394 and PSY 393	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3-12	New
BIO 426	Seminar in Neuroscience	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3	Existing
ANA 394	Independent Research in Neurobiology and Neuroscience *alternative to BIO 394 and PSY 393	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3-12	New
PSY 393	Research in Neuroscience *alternative to BIO 394 and ANA 394	<input checked="" type="checkbox"/> Pgm Core <input type="checkbox"/> Pre-major/prof	3-12	New
Total Core Courses Credit Hours:			60	
7i	Is there any narrative about pre-major or pre-professional courses for the program that should be included in the Bulletin? If "Yes," note below. (150 word limit)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	<i>Pre-major courses also satisfy Pre-Med requirements</i>			
7j	Is there any narrative about core courses for the program that should be included in the Bulletin? If "Yes," note below.		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
Program Guided Electives¹⁴ (Guided electives for all students in the program.)			<input type="checkbox"/> Not Applicable	
7k*	Does the program include any guided electives? (If "No," indicate & proceed to 7n.)		Yes <input checked="" type="checkbox"/>	No ¹⁵ <input type="checkbox"/>

¹⁴ Program guided electives are available to all students in the program and are organized as groups of elective courses, from which a student chooses one (or two, or three, etc.).

¹⁵ If "No," proceed to question 7n.

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		<i>Total Credit Hours as Guided Electives:</i>	12
7n*	Program Free Electives¹⁶. (Free electives for all students in the program, which includes general elective hours required by college and/or University (e.g. UK Core) for degree completion.)	<input checked="" type="checkbox"/> Not Applicable	
7o*	What is the total number of credit hours in free electives?		
7p	Provide a narrative, including course prefixes, about free electives courses that will be included in the Bulletin. (150 word limit)		
7q	Courses for a program's track(s). Check the appropriate box to describe the course as either "a core course for the track" or "an elective course for the track." (Click HERE for a template for additional tracks ¹⁷ .)	<input checked="" type="checkbox"/> Not Applicable	
Track name:			
Prefix & Number	Course Title	Credit Hrs	Course Status
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....
			<input type="checkbox"/> Track Core <input type="checkbox"/> Track Elective Select one....

¹⁶ Program free electives are available to all students in the program and the choice of which course(s) to take is up to the student. The courses are not grouped and are sometimes described as "student must take three courses at the 400-level or above."

¹⁷ Append a PDF with each track's courses to the end of this form.

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<i>Total Credit Hours Track:</i>			
7r	Is there any narrative about courses for a track that should be included in the Bulletin? If "Yes," note below. (150 word limit)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

7s	Total Credit Hours Required by Level. (below)				
	100-level:	200-level:	300-level:	400-level:	500-level:

7t	What is the total number of credit hours required for the degree? (e.g. 120, 126)	120
	If an explanation about the total credit hours is necessary, use the space below. (150 word limit)	

8. Degree Plan

8a Create a degree plan for the proposed program by listing in the table below the courses that a typical student would take each semester. If multiple tracks are available, click [HERE](#) for a template for additional tracks. Append a PDF with each track's semester-by-semester program of study to the end of this form.

	YEAR 1 - FALL:	<i>WRD 110</i> <i>BIO 148</i> <i>BIO 155</i> <i>CHE 105</i> <i>CHE 111</i> <i>MA 137 or MA 113</i>	YEAR 1 - SPRING:	<i>WRD 111</i> <i>BIO 152</i> <i>CHE 107</i> <i>CHE 113</i> <i>PSY 100</i>
	YEAR 2 - FALL :	<i>BIO 302</i> <i>UK Core: Arts and Creativity</i> <i>CHE 230</i> <i>CHE 231</i> <i>College Foreign Language III</i> <i>College Social Sciences, CGS 500 or major elective</i>	YEAR 2 - SPRING:	<i>College Humanities</i> <i>Major elective (ANA 209)</i> <i>CHE 232</i> <i>CHE 233</i> <i>College Foreign Language IV</i>
	YEAR 3 - FALL:	<i>PHY 211</i> <i>STA 296</i> <i>Major elective (CHE 556)</i> <i>BCH 401G</i>	YEAR 3 - SPRING:	<i>PHY 213</i> <i>Major elective (CGS 500)</i> <i>WRD 204 (GCCR course)</i> <i>BIO 305</i>
	YEAR 4 - FALL:	<i>UK CORE - Global Dynamics</i> <i>Major elective (PSY 459)</i> <i>UK CORE-Humanities</i> <i>BIO 394</i> <i>Elective</i>	YEAR 4 - SPRING:	<i>Elective</i> <i>Major elective (BIO 375)</i> <i>BIO 394</i> <i>BIO 426</i> <i>UK CORE-Community, Culture and Citizenship</i>

8b With reference to the degree plan above, explain how there is progression in rigor and complexity in the

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	courses that make up the program. <i>(150 word limit)</i>
	<i>The program is designed for students to progress from introductory to more advanced courses in biology, chemistry, and physics. Neuroscience courses begin with BIO 302, Introduction to Neuroscience, and progress to more specialized, advanced courses.</i>

9. Approvals/Reviews

Information below about the review process does not supersede the requirement for individual letters of support from educational unit administrators and from educational subunit administrators.

	Reviewing Group Name	Date Approved	Contact Person Name/Phone/Email
9a	(Within College)		
	<i>Department of Biology</i>	<i>4/18/14</i>	<i>Dr. Vincent Cassone / 859-257-6766 / vincent.cassone@uky.edu</i>
	<i>Department of Anatomy and Neurobiology</i>	<i>5/12/14</i>	<i>Dr. Don Gash / 859-257-5036 / dongash@uky.edu</i>
	<i>Department of Psychology</i>	<i>4/18/14</i>	<i>Dr. Bob Lorch / 859-257-6826 / rlorch@uky.edu</i>
	<i>Neuroscience Program Directors</i>	<i>1/14/15</i>	<i>Dr. Mark Prendergast / 859-257-6120 / prender@uky.edu</i>

9b	(Collaborating and/or Affected Units)		
	<i>Department of Chemistry</i>	<i>12/11/14</i>	<i>Dr. Steven Yates / 859-257-7082 / yates@uky.edu</i>
	<i>Department of Physics and Astronomy</i>	<i>12/10/14</i>	<i>Dr. Al Shapere / 859-257-8896 / shapere@pa.uky.edu</i>
	<i>Department of Molecular and Cellular Biochemistry</i>	<i>11/20/14</i>	<i>Dr. Doug Andrès / 859-257-6755 / dandres@email.uky.edu</i>
			<i>/ /</i>
			<i>/ /</i>
			<i>/ /</i>
			<i>/ /</i>
			<i>/ /</i>

9c	(Senate Academic Council)	Date Approved	Contact Person Name
	Undergraduate Council		
	Health Care Colleges Council (if applicable)		

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SECTION B – INFORMATION REQUIRED BY CPE AND SACS

10. Program Overview – Program Quality and Student Success

10a	<p>Highlight any distinctive qualities of the proposed program. Are any faculty nationally or internationally recognized for expertise in this field? Does this program build on the expertise of an existing locally, nationally, or internationally recognized program at UK? (300 word limit)</p>
	<p><i>The University of Kentucky is home to a large neuroscience research, service and outreach community comprised of nearly 300 faculty, staff and students from 5 different Colleges, including Arts and Sciences, Medicine, Pharmacy, Engineering, and Agriculture. In 2011, Ramos et al. reported findings of an expansive study of the prevalence of undergraduate degree programs in neuroscience in the United States. Of the 111 degree programs identified, only 20 of those were housed at public institutions, with the remaining 91 being offered by private, non-profit institutions. Our estimation of these patterns in 2014, based on extrapolation of trends from 1986-2008 reported by Ramos et al., suggests that nearly 150 such programs may exist currently, with less than 30 being offered by public institutions. Given the large and multi-disciplinary nature of the neuroscience community at the University, this University is ideally prepared to become one of a relatively small number of public institutions to offer an undergraduate degree in neuroscience.</i></p> <p><i>The faculty of record for this degree program are Nationally- and Internationally-recognized scientists with current fiscal year support from the National Institutes of Health of more than \$2.8 million. This group of faculty have a combined total of more than 1,300 publications in refereed scientific journals, as members of the University of Kentucky faculty. Additionally, approximately 1/2 of the faculty of record hold positions on Editorial Boards of refereed scientific journals or serve as Editors of these journals. The proposed degree program is the first Bachelors degree program at the University to unify the multidisciplinary expertise of this large neuroscience research community into a single curriculum. Students will also have the opportunity to receive extensive training in applied aspects of Neuroscience including such topics as, central nervous system injury, drug addiction, aging, and delivery of therapeutic agent using nanotechnologies, employing live animal, human subjects, and in silico models.</i></p>
10b*	<p>(similar to 2b) What are the intended student learning outcomes (SLOs) of the proposed program? Address one or more of the five areas of learning – broad, integrative knowledge; specialized knowledge; intellectual skills; applied learning; and civic learning. (300 word limit)</p> <p><i>Students completing the Neuroscience Major will:</i></p> <ul style="list-style-type: none"> • <i>Acquire and integrate knowledge regarding the structure and function of the nervous system at various levels including anatomical, behavioral, physiological, cellular, biochemical and molecular.</i> • <i>Describe and identify methods and tools used in neuroscience research and identify the power and limitations of various approaches and methodologies</i> • <i>Investigate challenging research questions and develop critical thinking skills.</i> • <i>Formulate hypotheses, design experiments to test the hypotheses, analyze data, interpret results, and critically evaluate the existing literature.</i> • <i>Effectively communicate results of scientific experiments in both written research papers/reports and oral presentations</i> • <i>Identify the ethical and professional standards and regulations which govern neuroscience investigations using cells, animals, and humans.</i> <p><i>The SLOs described above directly address the need for a broad, integrative knowledge base in neuroscience as it requires mastery of diverse content areas including nervous system anatomy, cellular biology, chemistry, scientific pedagogy, oral and written communication, and technical approaches employed to study how these broad content areas integrate with each other to produce function or dysfunction of the nervous system. The SLOs also address the learning goal of developing a specialized knowledge base given the very high degree of focus on a single organ system, the central nervous system. The SLOs proposed additionally address the development of intellectual skills and applied learning. This curriculum, and neuroscience in a broad sense, is focused on understanding the nervous system through the execution of critical thinking and applied research in the laboratory setting studying subjects including humans, non-human primates, rodents, and individual cells of the nervous system. Lastly, the final SLO listed above directly addresses the role that civic learning has in the responsible conduct of research and includes the study of ethical behavior in research.</i></p>

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10c	<p>Clearly state the student admission, retention, and completion standards designed to encourage high quality. (300 words)</p> <p><i>Students must meet the following requirements to gain entry into the Neuroscience major:</i></p> <ul style="list-style-type: none"> - successful completion of all UK Core curriculum coursework (30 credit hours) with a G.P.A. of at least 2.0. - Additional pre-major courses directly related to success in a Neuroscience curriculum must be completed and include 9 credit hours of introductory Biology (with a laboratory); introductory psychology (3 credit hours); mathematics (4 credit hours) and 10 credit hours of general chemistry including 2 laboratories. - Student progress and retention rates will be monitored continuously using G.P.A. (a minimum of 2.0 must be held in the major to earn the degree) and successful participation in the required independent research project in the laboratory of faculty member studying neuroscience. <p><i>The Directors of the new program will employ an annual program assesment to collect and information regarding rates of completed (earned) credits and "time-to-degree" for the student body as a unit. A benchmark goal for mean completed (earned) credits of 67% across the major will be referenced to reflect sucessful academic progress of the student body and competence of the curriculum. In addition, a benchmark for "time-to-degree" of no more than 150% of required credits will be referenced as an indicator of sufficient programmatic structure. For example, the proposed program will require 120 credit hours. Thus, a benchmark reference for adequate programmatic structure will be reflected as a mean "time-to-degree" of 180 credit hours, for the student body as a unit. These standard is similar to that required by Federal regulations for full-time students to receive financial aid, and is a common reference point for programmatic assessment.</i></p>
10d	<p>Describe how the proposed program will articulate with related programs in the state. Include the extent to which student transfer has been explored and coordinated with other institutions. Note: Convert all draft articulation agreements related to this proposed program to PDF and append to the end of this form. (300 word limit)</p> <p><i>Currently there are two neuroscience programs in the state (CIP code 26.1501): one at Transylvania University that began in the fall of 2013 and one at Morehead State University that is expected to begin in the fall of 2015. Drs. Debski, Geddes and Prendergast have examined the coursework for these programs, and both differ substantially from the curriculum that we are here proposing. Our program invests heavily in training students to be able to carry out mechanistic, scientific investigations of the nervous system and integrates biological, psychological and medical approaches to those investigations. The other two programs are course based, housed in psychology departments and have a behavioral and cognitive focus. Students transferring from these programs into ours will have their transcripts evaluated on an individual class basis for course equivalencies and transfer credit by a program director. Students will have to provide a current syllabus for each class in question to aid in this evaluation. Since all three of these programs are just in their beginning stages, we have not yet pursued transfer agreements with the other institutions. Once course syllabi have had a chance to become established at ours and the other institutions, we will do so.</i></p>
10e	<p>Identify the applicant pool and how applicants will be reached. (300 word limit)</p> <p><i>Currently, the University has nearly 70 students declared for the minor in Neuroscience degree, with nearly all being declared majors in Biology and/or Psychology. It is expected that a large majority of these students will declare a Neuroscience major once they are able to do so. Extensive outreach will be employed to inform other students of the Neuroscience major using listservs and Facebook pages generated by the departments of Biology, Psychology, and Chemistry. The University Bulletin itself will include discussion of the new program in the course description for BIO 302. Additionally, the Bluegrass Chapter of the Society for Neuroscience administers a listserv containing more than 300 recipients, many of whom are undergraduate (and even high school) students who have previously or are currently conducting research in the laboratory of a faculty member at the University. This will serve to inform a large number of current University students. Additionally, the College of Arts and Sciences Public Relations unit will disseminate an announcement of the new major, including web-based links to information about the major, using UKNow, a listserv of all University faculty, staff and students.</i></p>
<p>11. Mission: Centrality to the Institution's Mission and Consistency with State's Goals</p>	
11a*	<p>(similar to question 2b) List the objectives of the proposed program? These objectives should deal with the</p>

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	<p>specific institutional and societal needs that the program will address. (300 word limit)</p> <p><i>The objective of our program is to provide students with the interdisciplinary knowledge and technical skills in neuroscience needed for employment in these areas. Since understanding normal brain and nervous system functions and overcoming/treating their dysfunction is of growing concern to our society, many careers in neuroscience are experiencing sustained growth. To cite just a few of the many examples, the American Psychological Association has recently drawn attention to the critical shortage of both civilian and military mental health professionals needed to treat such diverse problems as post-traumatic stress syndrome and traumatic brain injury. Opportunities in regenerative medicine are increasing exponentially and currently run the gamut from research to clinical application to marketing of therapies that impact both peripheral and central nervous system repair. Finally, artificial intelligence and robotics are predicted to permeate wide segments of daily life by 2025 and advancements in both fields have benefited immensely from a neuroscience perspective. Further, in 2013 the Federal government proposed the collaborative research program termed the "Brain Initiative", which aims to map the function of every nerve cell in the human brain. The goal of this initiative is provide \$300 million in neuroscience research funding over the next 10 years. Thus, neuroscience is of significant societal interest.</i></p> <p><i>Since the inception of a minor degree in Neuroscience at the University in 2012, we have observed increasing enrollment which currently includes nearly 70 declared minors. Thus, there is a clear need to meet the specific educational desires of those students interested in neuroscience-related careers. While all students in this major may not decide to pursue careers specifically in neuroscience after their graduation from this program, this field impinges upon many scientific, educational and public health career choices. Thus, the training and knowledge that they obtain in our program will be broadly beneficial to them.</i></p>
<p>11b*</p>	<p>Explain how the program objectives above in item 11a support at least two aspects of <u>UK's institutional mission and academic strategic plan</u>? (150 word limit)</p> <p><i>The proposed program directly supports Goal 1 of Strategic Plan by providing in-depth and applied multidisciplinary training in a field that is rapidly developing highly innovative technical and theoretical approaches to understanding function and dysfunction of the nervous system. The Federal government's recent "Brain Initiative" is clear evidence of the global importance of neuroscience and our students will be given the applied and critical thinking skills needed to take leading roles as professionals in many different realms of neuroscience.</i></p> <p><i>The proposed program also directly addresses Goal 2 of the Strategic Plan with regard to promoting research (as this a research-driven field), creative thinking skills, and economic capital in a scientific discipline that is locally, nationally and internationally recognized as a field of high importance and significant economic impact.</i></p>
<p>11c*</p>	<p>How do the program objectives above in item 11a support at least two aspects of the Council on Postsecondary Education's (CPE) Strategic Agenda and the statewide implementation plan? (300 word limit)</p> <p><i>The objectives described above support several aspects of the CPE's Strategic Agenda and statewide implementation plan, particularly with regard to the use of "creative and innovative" technological approaches to address the needs of citizens in the Commonwealth and the engagement of those educated by this program with others in the community, in industry, and business to benefit the economic vitality of the Commonwealth and the quality of life of its citizens. Neuroscience as a field of study and in applied settings is multidisciplinary in nature and directly relevant to each of these 3 aspects of the Agenda. As reflected in the Federal governments "Brain Initiative", the neuroscience is a field of burgeoning importance with regard to both the quality of life of individuals and the financial sectors. The objectives guiding this new program are aimed at providing a world-class education, given by Internationally-reknowned scientists, to a large number of Kentuckians and other students in theoretical, technological and applied aspects of understanding function and dysfunction of the nervous system. Students will receive extensive and in-depth training in basic aspects of nervous system function and will employ a wide range of highly innovative technological approaches to study the nervous system in the context of normal function and disease states including Alzheimer's Disease, traumatic brain injury, Parkinson's Disease, substance abuse, stroke, and others via guided independent research activities in the laboratory of a neuroscientist at the University. In doing so, our objectives will allow us to train students in a field of rapidly expanding occupational opportunities,</i></p>

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	<i>employing state-of-the art technological approaches to study "real world" issues affecting citizens of the Commonwealth and the Nation.</i>
11d*	If an approval letter from an Education Professional Standards Board (EPSB) is required, check the box below and append a PDF version of the letter to this form. <input type="checkbox"/> (E.g. any program leading to teacher, principal, or superintendent certification, rank change, etc.)
12. Resources	
12a*	How will the program support or be supported by other programs within the institution? For example, shared faculty, shared courses, collaborative research, etc. (300 word limit) <i>The Neuroscience Major is multidisciplinary, involving several departments and colleges. The required introductory course, BIO 302, is taught by faculty from Anatomy and Neurobiology (Geddes) and Biology (Debski, O'Hara). In addition the UK Core courses involving several departments, Pre-major coursework is from Biology, Chemistry, Mathematics, Physics, and Psychology. Elective courses for the major are from Anatomy and Neurobiology, Biology, Biomedical Engineering, Chemistry, Child Development, Cognitive Sciences, and Psychology. Independent student research is offered through several departments including Anatomy (ANA 394), Biology (BIO 394), and Psychology (PSY 393). BIO 305, Introduction to Neuroscience Techniques, includes examples of methods related to anatomy, behavior (psychology), cell biology, pathology, and physiology.</i>
12b	What will be the projected "faculty-to-student in major" ratio? (150 word limit) <i>The Directors obtained 4-year enrollment statistics for undergraduate neuroscience degree programs at several benchmark institutions and have used the projected growth of the enrollment to estimate faculty-to-student ratios during the first 3 years of the new program. Our analysis demonstrated that from year 1 to year 2 of the new major, our benchmark universities saw a mean increase in enrollment of 80%, while a more modest mean increase was observed from year 2 to year 3. Based on our estimates of enrollment in the new program (which we project will mostly be current Neuroscience minors) and trends observed in benchmark institutions, we project that the "faculty-to-student in major" ratio will be 0.50 in year 1 (25/50), 0.25 in year 2 (25/100), and 0.16 (25/150) in year 3. Stated in terms of "student-to-faculty" ratio, these ratios would be 2.00, 4.00, and 6.00 in years 1, 2 and 3, respectively. Should the number of faculty of record increase in any given year, as is anticipated, these ratios will be adjusted accordingly.</i>
12c	Describe the library resources available ¹⁸ to support this program. Access to the qualitative and quantitative library resources must be appropriate for the proposed program and should meet recognized standards for study at a particular level or in a particular field where such standards are available. Adequacy of electronic access, library facilities, and human resources to service the proposed program in terms of students and faculty will be considered. (300 word limit) <i>The University of Kentucky Library System includes the main William T. Young Library which houses a life sciences collection, as well as eleven other libraries including a Science Library and Medical Center Library. Collections and information resources include 4,023,142 volumes, 588,428 electronic books, well over 400 commercial databases, approximately 27,000 linear feet of manuscripts and archives, and a broad collection of computer files, microforms, maps, film/video, audio and graphics. Annual collections expenditures total more than \$11.1 million. In FY12, 6.6 million searches were conducted in licensed databases and 2.8 million full-text articles were downloaded. UK serves as the Regional Depository for Kentucky as part of the Federal Depository Library Program. UK is also a depository for European Union publications and Canadian government publications. British Parliamentary Papers, Kentucky government publications, and technical reports from federal agencies are selectively collected.</i> <i>Access to 103 licensed health/biomedical sciences electronic databases is available and UK Libraries provides access to hundreds of other databases covering a wealth of subjects. Databases are available both from on-campus locations (designated by IP ranges) and including wireless access, plus off-campus locations.</i>

¹⁸ Please contact Institutional Effectiveness (institutionaleffectiveness@uky.edu) for more information.

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Bibliographic databases especially pertinent to biomedical research include: PubMed Medline, International Pharmaceutical Abstracts, Ageline, PsycINFO, CINAHL, Dentistry & Oral Sciences Source, BIOSIS, ToxNet, Web of Science, TRIP (Turning Research into Practice), Cochrane Database. SciFinderScholar and Beilstein provide access to the chemistry literature. STAT!Ref, ClinicalKey, PsychiatryOnline, AccessMedicine, and AccessEmergency Medicine contain bundled collections of major clinical resources that can be searched by either individual title or across all titles in the collections.

A link to interlibrary loan software is available for cases when our library doesn't have access to a title in electronic or print format.

12d

Describe the physical facilities and instructional equipment available to support this program. Physical facilities and instructional equipment must be adequate to support a high-quality program. Address the availability of classroom, laboratory, and office space, as well as any equipment needs. (300 word limit)

The College of Arts and Sciences has committed a large laboratory space in heart of the University undergraduate campus to serve as the home of a newly created laboratory-based course, entitled "Introduction to Neuroscience Techniques", that will be required of all Neuroscience majors. This 4 credit hour course is highly innovative in design as it will train students in the application of neuroscience concepts at multiple levels of analysis including behavioral, histological, analytical, biochemical and physiological levels of inquiry. The College of Arts and Sciences has committed nearly \$300,000 to the purchase of capital equipment and annual consumables to be dedicated to this highly innovative course. This equipment will include items such as behavioral testing equipment, cellular staining and imaging equipment, including microscopes capable of fluorophore detection, a freezing cryostat for brain sectioning, and "RoboRoach" electrophysiological kits to allow for the study of neural microstimulation.

In addition, the College of Arts and Sciences has authorized the hire of two tenure-track faculty members, one in Psychology and one in Biology, to service this new program and additional departmental needs. The position in Psychology is a Special Title Series line and will require a 75% distribution of effort to service the teaching needs of the new program in neuroscience, including the new laboratory-based course described. The position in Biology is a Regular Title Series line that will likely contribute to the teaching of one or more courses in the new program. The Colleges of Arts and Sciences and Medicine have committed to the continued appointment of one or more faculty of record to serve as Director(s) of the new program for a term of 3 years, which includes 10% administrative salary stipend and relief of additional administrative duties. Classrooms needed to instruct all classes listed in the curriculum are widely available on campus. Further, each faculty member has a dedicated office space.

13. Demand and Unnecessary Duplication

13a*

Provide justification and evidence to support the need and demand for this proposed program. Include any data on student demand, career opportunities at any level, or any recent trends in the discipline that necessitate a new program. (300 word limit)

- This evidence is typically in the form of surveys of potential students and enrollments in related programs at the institution.
- Anecdotal evidence is insufficient. Demonstrate a systematic collection of data, thorough study of the data, and a reasonably estimated student demand for the program.
- Provide evidence of student demand at state and national levels.

Enrollment in Neuroscience Major Programs at benchmark institutions has increased dramatically over the past few years. For example, enrollment in the Neuroscience Major at Michigan State University has increased from 132 students in 2012 to 411 students in 2014; at Ohio State University 78 students were enrolled in the Neuroscience Major in 2011 increasing to 890 students in 2014. Transylvania University first offered their Neuroscience Major in 2013 with an enrollment of 6 students, increasing to 29 students in 2014. The Neuroscience Major at Morehead State University was approved in Fall 2014, enrollment data are not yet available.

At the University of Kentucky, enrollment in the Neuroscience Minor has increased to 67 students in the two

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	<p><i>years since it was first offered. Class size in BIO 302 (Introduction to Neuroscience) has increased from 35 students in 2012 to a capped enrollment of 90 students in 2014, with enrollment anticipated to expand significantly when the cap is removed and the course is offered each semester instead of just during the Fall semester.</i></p> <p><i>In summary, all available evidence points to a significant demand for a Neuroscience Major. Anecdotal evidence indicates that the University of Kentucky is currently losing talented students to other institutions who offer a Neuroscience Major. * please see Appendix "Benchmark Neuroscience Program Enrollment Trends"</i></p>
13b	<p>Clearly state the degree completion requirements for the proposed program. (150 word limit)</p> <p><i>Awarding of the Neuroscience degree is dependent upon the completion of the UK Core, University graduation requirements and A&S College requirements as detailed in the University Bulletin and the completion of the neuroscience major curriculum described in this proposal. The student must have finished their coursework with a cumulative 2.0 GPA for classes for the major (pre-major and major classes) and a 2.0 cumulative GPA for UK core and A&S College required classes. A minimum of 30 of the last 36 credits presented for the degree must have been taken from the University in order to meet its residency requirement and the student must file a graduation application by the Bulletin-specified deadline in order to be eligible for graduation.</i></p>
13c*	<p>Will this program replace or enhance any existing program(s) or tracks (or concentrations or specializations) within an existing program? (300 word limit)</p> <p align="right">Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
	<p><i>If "Yes," explain: The University of Kentucky has offered a minor in Neuroscience housed in the Biology department since 2012. The minor has an enrollment of approximately 70 students as of the Fall term of 2014, most of whom have declared a major in Biology and/or Psychology. This minor may be obtained by completing 18 credit hours from a list of courses offered by the departments of Biology, Chemistry, Psychology, Anatomy and Neurobiology, and the Cognitive Science program. The proposed major will require 120 credit hours of coursework taken from courses offered by these same departments and by several additional departments, such as Physics and Astronomy, Biochemistry, and Biomedical Engineering. This expanded B.S. curriculum will significantly enhance the existing minor in Neuroscience program by providing more expansive and in-depth training to interested students and has the potential to expand the list of course alternatives available to those students who wish to remain declared minors in Neuroscience.</i></p>
13d	<p>Identify the primary feeders for the program. (150 word limit)</p> <p><i>The Neuroscience Major will attract students interested in pursuing careers in professional health related fields (medicine, nursing, occupational therapy, physical therapy, veterinary medicine), students seeking advanced graduate degrees, and those seeking immediate employment following graduation as a laboratory technician in an academic or pharmaceutical research lab. The primary feeders into this program will be students currently enrolled in Biology, Chemistry, or Psychology programs, and students entering the University with a strong background in math, science, and technology.</i></p>
13e	<p>Describe the student recruitment and selection process. (300 word limit)</p> <p><i>The Neuroscience major will be advertised to students via University media and a University website that is linked to the Biology, Psychology and Anatomy and Neurobiology websites. Flyers will also be sent to A&S student advisors to inform them about this new opportunity for students and allow them to bring it to the attention of their advisees. The availability of this new major will also be announced in the neuroscience classes. The College of Arts and Sciences does not have selective admissions. Students may declare the Neuroscience major upon enrollment at the University, or upon filing paperwork with the appropriate office to change their major.</i></p>
13f*	<p>Specify any distinctive qualities of the proposed program. (300 word limit)</p> <p><i>The Neuroscience Major has three distinctive qualities which provide for significant research experience as well as broad, comprehensive training in a variety of subdisciplines.</i></p>

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1. *A laboratory course in Neuroscience Methods which introduces students to methods related to behavioral neuroscience, cellular and molecular neuroscience, neuroanatomy, neuroimaging, neuropathology, and neurophysiology.*
2. *A requirement for mentored independent laboratory research*
3. *A curriculum which includes a core introductory neuroscience course (BIO 302, Introduction to Neuroscience) and options in which students enroll in at least one course in each of the following thematic areas: 1) Cellular/Molecular Neuroscience; 2) Neurophysiology; 3) Neuroanatomy; and 4) Integrated/Multidisciplinary Neuroscience Courses. The goal of this program is provide students with a broad, comprehensive and multidisciplinary training in neuroscience.*

13g Provide any evidence of a projected net increase in total student enrollments to the campus as a result of the proposed program. (300 word limit)

*Based on the enrollment in similar programs at benchmark institutions, we anticipate a rapid growth in enrollment in the Neuroscience Major. We anticipate that approximately 70% of the enrolled students will be students who would have otherwise majored in other disciplines at the University of Kentucky (Agricultural Biotechnology, Biology, Chemistry, Health Sciences, Psychology). Approximately 30% of the students will be students who enroll at the University of Kentucky because of the Neuroscience Major, instead of enrolling in a similar program at another institution. Based on the estimated student demand shown below in 13h, we anticipate a total of 750 students enrolled in the Neuroscience Major in the first five years, including a net increase of 225 students who would not have otherwise enrolled at the University of Kentucky. * Please see appendix "Benchmark Neuroscience Program Enrollment Trends".*

13h Use table below to estimate student demand for the first five years following implementation.

Academic Year	# Degrees Conferred	Majors (headcount)	
		Fall Semester	Spring Semester
2017 - 2018	-	50	
2018 - 2019	17	100	
2019 - 2020	35	150	
2020 - 2021	70	200	
2021 - 2022	140	250	

13i Clearly describe all evidence justifying a new program based on changes in the academic discipline or other academic reasons. (300 word limit)

Neuroscience is a field of study that is expanding at a National and International level due to many factors including the rapid development of innovative technological approaches that allow for levels of analysis of the nervous system never before imagined, growing recognition of the critical role that even single cells have in influencing normal and pathological nervous system function and the increasing prevalence of neurodegenerative disease, traumatic brain injury and substance abuse, for example. The Federal government's recent "Brain Initiative", announced in 2013, is projected to provide more than \$3 billion in research funding to the field of neuroscience over the next ten years. As noted above (11a, 13a) data obtained from benchmark institutions demonstrate a mean growth rate in enrollment in the first year of establishment of new neuroscience major programs of 80%, with the mean current enrollment in these programs being 660 students for the 2014-2015 academic year. These statistics show clear and tangible evidence of demand for this type of program and evidence that student enrollment levels will be significant and supportive of the new program.

To obtain expertise in this field, a rigorous academic experience is required, such as that outlined in this proposal. Beyond in-class learning, this discipline requires the development of critical thinking abilities in the applied setting of a laboratory through the use of innovative scientific methodologies. The proposed program requires extensive "hands-on" neuroscience application, both in a 4 credit hour, semester long guided laboratory experience (BIO 305) and in a two-semester sequence of independent research (BIO 394/ANA 394/PSY 393) in the laboratory of faculty member at the University. Few such programs exist at public institutions in the United States, as noted above, our estimates suggest that less than 30 such programs may currently exist at public institutions. Thus, this program will address an unmet need of a large number of

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citizens who desire to train in this rapidly expanding field.

13j Has the Council on Postsecondary Education identified similar programs? Yes No
 (Please contact Institutional Effectiveness (institutionaleffectiveness@uky.edu) for help with this question.)
 If "Yes," the following questions (5h1 – 5h5) must be answered.

(1) Does the program differ from existing programs in terms of curriculum, focus, objectives, etc.? (150 word limit) Yes No

If "Yes," explain: *Our proposed program integrates biological, psychological and medical knowledge and approaches to nervous system investigation. Electives are chosen based on these investigative approaches, not by academic departments. The program also requires students to do a year of independent research to gain experience using the techniques that they have learned. Neither Morehead State nor Transylvania University have a medical school to allow for a similar integration and independent research is not required by either program. Furthermore, the majority of neuroscience courses available at Morehead State are in the psychology department; this is not true of our program, giving it a different focus. The neuroscience major at Transylvania is also housed in a psychology department and the curriculum emphasizes behavior, and cognition. While these are elements of our program, the biological and medical school classes give it a much more mechanistic grounding.*

(2) Does the proposed program serve a different student population (e.g., students in a different geographic area or nontraditional students) from existing programs? (150 word limit) Yes No

If "Yes," explain: *The location of the University of Kentucky in the central part of the state would likely cause our program to attract a somewhat different group of students from the program at Morehead State. Our large University setting and state school status would also likely differentiate our student pool from that of Transylvania*

(3) Is access to existing programs limited? (150 word limit) Yes No

If "Yes," explain: *The program at Transylvania only began in the fall of 2013 and the one at Morehead State was approved in the Fall of 2014 with implementation scheduled for the Fall of 2015. Therefore, at the present time they are not at their capacity. It is unclear, however, to what extent these programs can accommodate the growth expected by looking at the history of other neuroscience programs around the country*

(4) Is there excess demand for existing programs? (150 word limit) Yes No

If "Yes," explain: *Excess demand for classes that make up the neuroscience minor suggests that there is great interest in neuroscience at the University of Kentucky that is not being met by existing programs of study. To cite one example, the enrollment for our introductory neuroscience class when we first offered the class in 2011 was 50. We have capped enrollment at 90 students in the class in the fall of 2014. Furthermore, other biology neuroscience courses are now taught every year to accommodate demand rather than every other year as in the past.*

(5) Will there be collaboration between the proposed program and existing programs? (150 word limit) Yes No

If "yes," explain the collaborative arrangements with existing programs. If "no," explain why there is no collaboration with existing programs.

At present there are no existing collaborative arrangements with the neuroscience programs at Morehead State or Transylvania. This is in keeping with the program being a major at an existing academic institution. However, we would be happy to explore opportunities for collaboration in the future. Within the University of Kentucky, the neuroscience major represents the collaborative efforts of a number of different departments in designing and implementing the curriculum as detailed elsewhere in this application.

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13k*	Are there similar programs in other <u>Southern Regional Education Board (SREB)</u> states in the nation?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
If "Yes," please answer the questions below to demonstrate why this proposed program is needed in addition to the one(s) currently in existence.			
13k.i*	Identify similar programs in other SREC states and in the nation.		
13k.ii*	Does the program differ from existing programs in terms of curriculum, focus, objectives, etc.? If "Yes," explain. (300 word limit)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
13k.iii*	Does the proposed program serve a different student population (e.g., students in a different geographic area and non-traditional students) from existing programs? If "Yes," explain. (300 word limit)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
13k.iv*	Is access to existing programs limited? If "Yes," explain. (300 word limit)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
13k.v*	Is there excess demand for existing similar programs? If "Yes," explain. (300 word limit)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
13k.vi*	Will there be collaboration between the proposed program and existing programs? If "No," explain. (300 word limit)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
13l	Would your institution like to make this program available through the <u>Academic Common Market</u> ¹⁹ ?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
13m	Clearly describe evidence of employer demand. Such evidence may include employer surveys, current labor market analyses, and future human resources projections. Where appropriate, evidence should demonstrate employers' preferences for graduates of the proposed program over persons having alternative existing credentials and employers' willingness to pay higher salaries to graduates of the proposed program. (300 word limit)		
	<i>A survey of fifty graduates of the Neuroscience Program at Ohio State University found that 16% applied and were accepted into MD, MD/PhD, or DO programs; 8% were accepted into other professional schools (Occupational Therapy, Physical Therapy, Masters in Nursing, Physician's Assistant), and 12% applied to graduate school. The remaining students were employed in a variety of positions including laboratory technician, physician scribe, patient care associate, medical sales, mental health aid, AmeriCorps, and field marketing. Of these, 73% had plans for graduate or professional school within 1-2 years following graduation, only 12% did not plan to pursue an advanced degree. A survey conducted by the Society of Neuroscience in 2011 found that for new neuroscience graduates, 65% were employed in academic research, 15% went to medical school, 5% were employed by industry, a small percentage were employed outside the field, and approximately 2% were unemployed. Within Kentucky, employment opportunities include research</i>		

¹⁹ Please contact Institutional Effectiveness (institutionaleffectiveness@uky.edu) for more information.

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	<i>and education positions at public and private universities as well as opportunities at over 50 biotech companies.</i>
13n*	Describe the types of jobs available for graduates, average wages for these jobs, and the number of anticipated openings for each type of jobs at the regional, state, and national levels. <i>Opportunities for graduates with a BS in Neuroscience include further education in Graduate School or Professional Programs (Clinical Psychology, Medicine, Dentistry, Pharmacy, Physical Therapy Public Health, Veterinary Medicine), and employment in education (secondary and post-secondary), academic research including basic and clinical research, academic administration, and pharmaceutical research as well as related fields including scientific and medical publishing, science advocacy and government relations, and non-profit or professional organizations. Median salaries for those who move immediately into the work force range from \$30,020 to \$48,400. For those who pursue advanced academic or health profession degrees, the salary range is \$60,000 to well over \$150,000 per year. A recent search of NeuroJobs, an online service of the Society for Neuroscience, lists 194 jobs available throughout the United States. A survey conducted by the Society of Neuroscience in 2011 found that for new neuroscience graduates, 65% were employed in academic research, 15% went to medical school, 5% were employed by industry, a small percentage were employed outside the field, and approximately 2% were unemployed. Within Kentucky, employment opportunities include research and education positions at public and private universities as well as opportunities at over 50 biotech companies. Those relevant to neuroscience include Alltech (Nicholasville), Neogen (Lexington), Martek Biosciences (Winchester), i3 Statprobe (Lexington), Amgen (Louisville), Laboratory and BioDiagnostics (Lexington), Genentech (Louisville), Peptides International (Louisville), Murty Pharmaceuticals (Lexington), Potentia Pharmaceuticals (Louisville), custom KYnetics (Versailles), Transposagen Biopharmaceuticals (Lexington), PDX Biotech (Lexington), Image Analysis Inc (Columbia), ParaTechs (Lexington), and bioLOGIC Corp (Covington).</i>

14. Assessment and Oversight

14a	Describe <i>program</i> evaluation procedures for the proposed program. These procedures may include evaluation of courses and faculty by students, administrators, and departmental personnel as appropriate. Program review procedures shall include standards and guidelines for the assessment of student outcomes implied by the program objectives and consistent with the institutional mission. (300 word limit) <i>Assessment of student learning will occur at both formative and summative stages curriculum and will follow a three year assessment cycle, with two of the six student learning outcomes being assessed annually over the course of the cycle. It is the responsibility of the Directors to monitor activities of student assessment in all relevant courses and to solicit the assessment input from those course instructors. A meeting of all Directors will take place in mid-September of each year to evaluate all assessment and generate an assessment report, due no later than October 31st of each year.</i> <i>Year 1: SLOs 1 and 2 will be assessed by analysis of exams in BIO 302 Introduction to Neuroscience (formative assessments) and research competency and written research papers in BIO 394/ANA 394/PSY 393 Research in Neuroscience (summative assessments).</i> <i>Year 2: SLOs 3 and 4 will be examined by analysis of laboratory reports written in BIO 305 Introduction to Neuroscience Techniques (formative assessments) and the execution of an independent laboratory experiments in BIO 394/ANA 394/PSY 393 (summative assessments).</i> <i>Year 3: SLOs 5 and 6 will be assessed by analysis of exams in BIO 302 and laboratory reports in BIO 305 Introduction to Neuroscience Techniques (formative assessments); one oral presentation in BIO 426 Seminar in Neuroscience (summative assessments); and a poster presentation in BIO 394/ANA 394/PSY 393 (summative assessments).</i> <i>Faculty of record will be evaluated using University Teacher Course Evaluations (TCEs) completed by their student each term. All TCEs are public record and accessed via the University website. The Directors will review the relevant TCEs of faculty of record each year. Areas of concern will be summarized and communicated to the individual faculty of record and a request for a plan of remediation will be made.</i>
14b*	Identify both the direct and indirect methods by which the intended student learning outcomes (SLOs) will

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	<p>be assessed. (300 word limit)</p> <p><i>SLO1: indirect method of assessment is exam performance. The direct method of assessment is evaluation of a written research paper completed after concluding an independent research project in the laboratory of a faculty member.</i></p> <p><i>SLO2: indirect method of assessment is exam performance. The direct method of assessment is evaluation of appropriate execution of an independent research project in the laboratory of a faculty member.</i></p> <p><i>SLO3: indirect method of assessment is descriptive laboratory reports. The direct method of assessment is evaluation of appropriate execution of an independent research project in the laboratory of a faculty member.</i></p> <p><i>SLO4: indirect method of assessment is descriptive laboratory reports. The direct method of assessment is evaluation of appropriate execution of an independent research project in the laboratory of a faculty member.</i></p> <p><i>SLO5: indirect method of assessment is descriptive laboratory reports. The direct method of assessment is evaluation of a poster presentation to be given at a local meeting of a scientific society.</i></p> <p><i>SLO6: indirect method of assessment is exam performance. The direct method of assessment is evaluation of an oral presentation related to ethical conduct of research.</i></p>
14c	Procedures for Course Mapping of SLOs (related to question 5b)
14c.i	<p>Which components will be evaluated, i.e. course mapping? (300 word limit)</p> <p><i>Slo1: Indirect Method Of Assessment Is Exam Performance In Bio 302 Introduction To Neuroscience. The Direct Method Of Assessment Is Evaluation Of A Written Research Paper Upon Completion Of An Independent Research Project In Bio 394, Ana 394, Or Psy 393, All Entitled Research In Neuroscience.</i></p> <p><i>Slo2: Indirect Method Of Assessment Is Exam Performance In Bio 302. The Direct Method Of Assessment Is Evaluation Of Appropriate Execution Of An Independent Research Project In Bio 394, Ana 394, Psy 394, All Entitled Research In Neuroscience.</i></p> <p><i>Slo3: Indirect Method Of Assessment Is Descriptive Laboratory Reports In Bio 305 Introduction To Neuroscience Techniques. The Direct Method Of Assessment Is Evaluation Of Appropriate Execution Of An Independent Research Project In Bio 394, Ana 394, Psy 394, All Entitled Research In Neuroscience.</i></p> <p><i>Slo4: Indirect Method Of Assessment Is Descriptive Laboratory Reports In Bio 305 Introduction To Neuroscience Techniques. The Direct Method Of Assessment Is Evaluation Of Appropriate Execution Of An Independent Research Project In Bio 394, Ana 394, Psy 394, All Entitled Research In Neuroscience.</i></p> <p><i>Slo5: Indirect Method Of Assessment Is Descriptive Laboratory Reports In Bio 305 Introduction To Neuroscience Techniques. The Direct Method Of Assessment Is Evaluation Of A Poster Presentation To Be Made Upon Completion Of An Independent Research Project In Bio 394, Ana 394, Psy 394, All Entitled Research In Neuroscience.</i></p> <p><i>Slo6: Indirect Method Of Assessment Is Exam Performance In Bio 302 Introduction To Neuroscience. The Direct Method Of Assessment Is Evaluation Of An Oral Presentation In Bio 426 Seminar In Neuroscience.</i></p>
14c.ii	<p>When will components be evaluated? (150 word limit)</p> <p><i>Evaluation of the curriculum and student response to curricular activities, particularly with regard to the new laboratory-based course BIO 305 Introduction to Neuroscience Techniques will be monitored continuously in response to ongoing feedback from faculty of record. A formalized evaluation of outcomes will be conducted after the completion of each academic year and will include a review of SLO rubric and rubrics developed for each specific component to be assessed (eg. exams, laboratory reports, oral presentations, poster presentation), in preparation for an annual report to the University Office of Assessment no later than Oct. 31st of each year. Teaching performance of faculty of record will be examined at the end of each academic year, per 14a.</i></p>
14c.iii	<p>When will the data be collected? (150 word limit)</p> <p><i>Year 1: SLOs 1 and 2 will be assessed by analysis of exams in BIO 302 Introduction to Neuroscience (indirect, formative assessments) and research competency and written research papers in BIO 394/ANA 394/PSY 393 (direct, summative assessments).</i></p> <p><i>Year 2: SLOs 3 and 4 will be examined by analysis of laboratory reports written in BIO 305 Introduction to Neuroscience Techniques (indirect, formative assessments) and the execution of an independent laboratory</i></p>

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	<p><i>experiments in BIO 394/ANA 394/PSY 393 (direct, summative assessments).</i></p> <p><i>Year 3: SLOs 5 and 6 will be assessed by analysis of exams in BIO 302 Introduction to Neuroscience (indirect, formative assessments); one oral presentation in BIO 426 Seminar in Neuroscience (direct, summative assessments); and a poster presentation in BIO 394/ANA 394/PSY 393 (direct, summative assessments).</i></p> <p><i>All data will be collected following the end of the academic year and will be collected prior Sept. 1st of each year.</i></p>
14c.iv	<p>How will the data be collected? (150 word limit)</p> <p><i>Assessment of SLOs will occur only in classes taught by faculty of record in the Department of Biology (the home unit of the new program), with the exception of ANA 394 or PSY 393. All faculty sponsoring students in ANA 394 and PSY 394 will communicate their assessment measures directly to the new program Directors no later than Sept. 1st of each year.</i></p>
14c.v	<p>What will be the benchmarks and/or targets to be achieved? (150 word limit)</p> <p><i>The targeted grade point average reflecting satisfactory progress in the major will be a 2.00 cumulative G.P.A., as this is the University benchmark for successful completion of major coursework. With regard rubric assessment (please attached assessment plan), we have a targeted a mean rubric score for individual SLOs of 1.5 or greater. Targets for "time-to-degree" will reflect common Federal standards for adequate academic progress and will include a student body mean time of 150% of the required major credits hours of 120 (eg. 180 credit hours taken) and a completed (earned) credit ration of 67%, the Federal requirement reflecting adequate academic progress.</i></p>
14c.vi	<p>What individuals or groups will be responsible for data collection? (150 word limit)</p> <p><i>The program Directors (Drs. Debski, Geddes and Prendergast) will also act as assessment coordinators. It is the responsibility of the Directors to monitor activities of assessment in all relevant courses and to solicit the assessment input from those course instructors. A meeting of all Directors will take place in mid-September of each year to evaluate all assessment and generate an assessment report, due no later than October 31st of each year.</i></p>
14c.vii	<p>How will the data and findings be shared with faculty? (150 word limit)</p> <p><i>The faculty of record will receive a summary document detailing the specific, mean numerical outcomes (based on our rubric for assessments of each SLO) for each assessment of 2 SLOs per year. This will be an electronic communication. If areas of concern are noted (for example, if mean numerical assessments are lower than "2" on the "0-3" assessment scale of the rubric), a meeting of all relevant faculty of record will be convened and a plan of remediation will be designed and subsequently implemented.</i></p>
14c.viii	<p>How will the data be used for making programmatic improvements? (150 word limit)</p> <p><i>If targets described above in 14c.v are not achieved (eg. a mean evaluation score of lower than 1.5 is not realized on any given assessment measure), the Director(s) will initiate a review of the relevant SLO(s) and the courses in which that SLO(s) is assessed to identify areas of strength and potential weakness. If clear corrective measures or revisions are not readily identified, the Directors will convene a meeting of the faculty of record to initiate a collaborative discussion with regard to designing a remediation plan.</i></p>
14c.ix	<p>What are the measures of teaching effectiveness? (150 word limit)</p> <p><i>All faculty of record will be evaluated using University Teacher Course Evaluations (TCEs) completed by their student each term. All TCEs are public record and accessed via the University website. The Directors will review the relevant TCEs of faculty of record each year.</i></p>
14c.x	<p>What efforts to improve teaching effectiveness will be pursued based on these measures? (150 word limit)</p> <p><i>Areas of concern will be summarized and communicated to the individual faculty of record and a request for a plan of remediation will be made. Additional options aimed at improving teaching, if needed, include providing College-level support to promote scholarly activities in the area of teaching at the undergraduate</i></p>

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level and may include support for attendance at relevant conferences and symposia, such as the "Conference on Higher Education Pedagogy" offered by the Center for Instructional Development and Educational Research at Virginia Polytechnic Institute and State University.

14c.xi What are the plans to evaluate students' post-graduate success? (150 word limit)

The Directors will obtain data from the Alumni Survey annually and will additionally create a separate and brief web-based survey of educational and career outcomes to be communicated to all alumni electronically on an annual basis.

15. Cost and Funding of the Proposed Program²⁰

15a Will this program require additional resources? Yes No

If "Yes," please provide a brief summary of additional resources that will be needed to implement this program over the next five years. (300 word limit)

15b Will this program impact existing programs and/or organizational units within your institution? (300 word limit) Yes No

If "Yes, briefly describe.

The Neuroscience major is likely to obtain some proportion of its student enrollment (we estimate about 33%) from current Biology and Psychology majors who are interested in nervous system development and function. Each of these departments currently has large numbers of majors (Biology - 1600; Psychology - 950) and expects further growth in the future. This internal transfer of students from one major to another is expected to minimally impact existing courses.
However, the Neuroscience major is also expected to draw new students to the University who are currently obtaining neuroscience degrees elsewhere in the country. These students represent new enrollment accommodations that must be made. The departments involved in teaching the pre-major and major requirements in this program have agreed to meet the demands (please attached correspondences of support) that additional students will put upon their faculty and classroom resources. Those most heavily affected, such as Biology, have agreed to increasingly devote more of their teaching efforts of their neuroscience faculty to courses needed for this new major. The Dean of A&S has also given Psychology a new teaching position in part to allow for the teaching of the new neuroscience techniques lab that is an integral part of this new program.

15c Provide adequate documentation to demonstrate sufficient return on investment to the state to offset new costs and justify approval for the proposed program. (300 word limit)

A survey of fifty graduates of the Neuroscience Program at Ohio State University found that 16% applied and were accepted into MD, MD/PhD, or DO programs; 8% were accepted into other professional schools (Occupational Therapy, Physical Therapy, Masters in Nursing, Physician's Assistant), and 12% applied to graduate school. The remaining students were employed in a variety of positions including laboratory technician, physician scribe, patient care associate, medical sales, mental health aid, AmeriCorps, and field marketing. Of these, 73% had plans for graduate or professional school within 1-2 years following graduation, only 12% did not plan to pursue an advanced degree. Thus, students graduating with a Bachelor of Science in Neuroscience are highly likely to obtain advanced degrees where salaries range from approximately \$60,000 to well over \$150,000 per year. The tax revenues and other benefits from an increased number of highly educated individuals in the medical, pharmaceutical, research, and technology fields justify approval for the proposed program.

16.* Budget Funding Sources, by Year of Program (Please answer in terms of dollar amounts.)

(Please note – all the fields in number 16 are required for the CPE's pre-proposal form.)

Total Resources Available from	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year
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²⁰ For questions about cost and funding of the program, please contact your department chair, business officer, or associate dean for academic affairs.

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Federal Sources						
New	0	0	0	0	0	0
Existing	0	0	0	0	0	0
Narrative/Explanation:						
Total Resources Available from Other Non-State Sources:						
	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
New	0	0	0	0	0	0
Existing	0	0	0	0	0	0
Narrative/Explanation:						
State Resources						
	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
New	0	0	0	0	0	0
Existing	0	0	0	0	0	0
Narrative/Explanation:						
Internal						
	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
(New) Allocated Resources	0	0	0	0	0	0
(Existing) Reallocated Resources	0	0	0	0	0	0
Narrative/Explanation:						
Student Tuition						
	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
New	0	0	0	0	0	0
Existing	0	0	0	0	0	0
Narrative/Explanation:						
Total Funding Sources						
	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
Total New	0	0	0	0	0	0
Total Existing	0	0	0	0	0	0

17. Breakdown of Program Expenses/Requirements⁴

(Please note – all the fields in number 17 are required for the CPE's pre-proposal form.)

Staff: Executive, Administrative & Managerial						
	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
New	0	0	0	0	0	0
Existing	0	0	0	0	0	0
Narrative/Explanation:						
Faculty						
	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
New	77250	79568	81955	84413	86946	
Existing	344251	354579	365216	376173	387458	
Narrative/Explanation: <i>The faculty cost reflect the 75% distribution of effort of the new Special Title Series</i>						

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		<i>line (tenure-track, no research), which will be dedicated to teaching in the new Neuroscience program. The existing faculty costs reflect the teaching efforts of the faculty of record.</i>				
Student Employees		1st Year	2nd Year	3rd Year	4th Year	5th Year
	New	0	0	0	0	0
	Existing	0	0	0	0	0
Narrative Explanation/Justification:						
Equipment and Instructional Materials		1st Year	2nd Year	3rd Year	4th Year	5th Year
	New	296,311	12,000	12,000	12,000	12,000
	Existing	0	0	0	0	0
Narrative Explanation/Justification:		<i>The equipment and instructional materials (eg. consummables) budget reflects capital and small equipment needed, in the first year of the new program, to adequately equip the new 4 credit hour lecture-laboratory course BIO 305 Introduction to Neuroscience Techniques. This course will be required of all majors and involves an intensive lecture and laboratory experience involving completion of a series of guided, integrated studies in neuroscience employing applied techniques that require advanced instrumentation. After year 1, we are requesting an annual consummables budget of \$12,000 to provide the laboratory supplies needed to conduct the lab.</i>				
Library		1st Year	2nd Year	3rd Year	4th Year	5th Year
	New	0	0	0	0	0
	Existing	0	0	0	0	0
Narrative Explanation/Justification:						
Contractual Services		1st Year	2nd Year	3rd Year	4th Year	5th Year
	New	0	0	0	0	0
	Existing	0	0	0	0	0
Narrative Explanation/Justification:						
Academic and/or Student Services		1st Year	2nd Year	3rd Year	4th Year	5th Year
	New	0	0	0	0	0
	Existing	0	0	0	0	0
Narrative Explanation/Justification:						
Other Support Services		1st Year	2nd Year	3rd Year	4th Year	5th Year
	New	0	0	0	0	0

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Existing	0	0	0	0	0
Narrative Explanation/Justification:					
Faculty Development	1st Year	2nd Year	3rd Year	4th Year	5th Year
New	0	0	0	0	0
Existing	0	0	0	0	0
Narrative Explanation/Justification:					
Assessment	1st Year	2nd Year	3rd Year	4th Year	5th Year
New	0	0	0	0	0
Existing	0	0	0	0	0
Narrative Explanation/Justification:					
Other	1st Year	2nd Year	3rd Year	4th Year	5th Year
New	0	0	0	0	0
Existing	0	0	0	0	0
Narrative Explanation/Justification:					
Total Program Budgeted Expenses/Requirements	1st Year	2nd Year	3rd Year	4th Year	5th Year
New					
Existing					
TOTAL Program Budgeted Expenses/Requirements:					
GRAND TOTAL	1st Year	2nd Year	3rd Year	4th Year	5th Year
TOTAL NET COST:	717,812	446,147	459,171	472,586	486,404

18. Course Descriptions

18a	Program Core Courses (includes pre-major and pre-professional courses)
Prefix & Number	Course Description (from the Bulletin or the most recent new/change course form)
BIO 148	<i>Introduction to Biology I. BIO 148 introduces the student to the biological mechanisms operating at the molecular, cellular, and population level that contribute to the origin, maintenance, and evolution of biodiversity including the origins and history of the evolutionary process. Course material is presented within a phylogenetic context, emphasizing the shared history of all living organisms on earth through common ancestry. The first semester of an integrated one-year sequence (BIO 148 and BIO 152). Prereq: Math ACT of 23 or above or MA 109, past or concurrent enrollment in CHE 105.</i>
BIO 152	<i>Principles of Biology II. The second semester of an integrated one-year sequence (BIO 150 and 152) that is designed to develop understanding and appreciation for the diverse forms of plant and animal life, and their relationships to each other and to their environment. Structure and function relationships will be explored</i>

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	<i>at many levels of organization: cell, tissue, organ, organism, population and community. Prereq: CHE 105, or Math ACT of 26 or above plus concurrent enrollment in CHE 105, or chemistry placement test passed plus concurrent enrollment in CHE 105.</i>
BIO 155	<i>Introductory Biology Laboratory. This course is designed to provide a broad introduction into the data, results, and information associated with biological research, and into some of the analytical approaches used to test biological hypotheses. Communication of these aspects of biological research is crucial, and much of this lab course will be focused on the development of effective writing skills for the delivery of this information. Prereq: Math ACT of 23 or above or MA 109, past or concurrent enrollment in CHE 105.</i>
PSY 100	<i>Introduction to Psychology. An introduction to the study of behavior covering theories, methods and findings of research in major areas of psychology. Topics covered will include the biological foundations of behavior; learning, perception, motivation, personality; developmental, abnormal, and social behavior; and methods of assessment. This course is a prerequisite to a significant number of courses in this and related areas of study. Lecture, three hours; laboratory/discussion, two hours</i>
MA 137	<i>Calculus with Life Sciences Applications. A first course in one-variable calculus. Derivatives and integrals of elementary functions (including the trigonometric functions) with applications to the life sciences. Lecture, three hours; recitation, two hours per week. Students may not earn credit for MA 113 and MA 137. Note: Math placement test recommended. Prereq: Math ACT of 27 or above, or math SAT of 620 or above, or MA 109 and MA 112, or MA 110, or consent of the department. Students who enroll in MA 137 based on their test scores should have completed a year of pre-calculus study in high school that includes the study of trigonometric function</i>
CHE 105	<i>General College Chemistry I. A study of the principles of chemistry and their application to the more important elements and their compounds. Not open to students who have already completed both CHE 104 and 106 or CHE 104 and CHE 108, but open to students who have completed just CHE 104. Prereq: Math ACT of 23 or above (or Math placement test), or MA 109, or MA 110, or the KCTCS course CHE 102R or CHM 100.</i>
CHE 111	<i>General College Chemistry Lab I. A laboratory course, to accompany CHE 105, dealing with the properties of chemical substances and providing an introduction to quantitative chemical analysis. Prereq or concur: CHE 105.</i>
CHE 107	<i>General College Chemistry II. A continuation of CHE 105. A study of the principles of chemistry and their application to the more important elements and their compounds. Not open to students who have completed only CHE 104 but is open to students who have completed both CHE 104 and 106. Prereq: CHE 105 (with a grade of C or better), or both CHE 104 and 108 (with a grade of C or better in CHE 108).</i>
CHE 113	<i>General College Chemistry Lab II. A laboratory course, to accompany CHE 107, emphasizing qualitative and quantitative chemical analysis. Prereq: CHE 111; prereq or concur: CHE 107.</i>
	<i>Please see appendix 18a for a list of additional Program Core Courses</i>

18b	Program Guided Electives Courses (for the major)
Prefix & Number	Course Description (from the Bulletin or the most recent new/change course form)
	<i>Please see Appendix 18b</i>

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18c	Program Free Electives Courses	
Prefix & Number	Course Description (from the Bulletin or the most recent new/change course form)	
	<i>not applicable</i>	
18d	Courses for a Track. (If multiple tracks are available, click HERE for a template for additional tracks. Append a PDF to the end of this form with each track's courses and descriptions.	
Prefix & Number	Course Type	Course Description (from the Bulletin or the most recent new/change course form)
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	
	<input type="checkbox"/> Track Core	
	<input type="checkbox"/> Track Elective	

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the degree program.

the SACS²¹-required faculty roster below, for full-time and part-time faculty teaching in the program. Abbreviations JGHT columns are below the table. *Please contact Institutional Effectiveness (institutionaleffectiveness@uky.edu) for help*

COURSES TAUGHT	ACADEMIC DEGREES AND COURSEWORK	OTHER QUALIFICATIONS AND COMMENTS
Include term; course prefix, number and title; & credit hours. Identify courses as D, UN, UT or G.	List relevant courses taught, including institution and major.	Note qualifications and comments as they pertain to course taught.

- D = developmental
- UN = undergraduate nontransferable
- UT = undergraduate transferable
- G = graduate

ools Commission on Colleges (SACS).

Appendix 4d. Faculty Roster

	CIP CODE	COURSES IN PROGRAM	OTHER QUALIFICATIONS
Rebecca Dutch (FT)	26.0202	BCH 401G	NA
Sabire Ozcan (FT)	26.0204	BCH 401G	NA
Craig William Vander Kooi (FT)	26.0202	BCH 401G	NA
Yvonne N Fondufe-Mittendorf (FT)	26.0802	BCH 401G	NA
Nicholas L Martin (FT)	40.0801	PHY 211	NA
Gang Cao (FT)	40.0801	PHY 213	NA
Kwokwai Ng (FT)	40.0801	PHY 231, PHY 232	NA
Steven L Ellis (FT)	40.0801	PHY 241, PHY 242	Senior academic coordinator in phy

Appendix 5b. Curricular Map

Student Learning Outcomes

1. Acquire and integrate knowledge regarding the structure and function of the nervous system at various levels including anatomical, behavioral, physiological, biochemical, cellular, and molecular.
2. Describe and identify methods and tools used in neuroscience research and identify the power and limitations of various approaches and methodologies
3. Investigate challenging research questions and develop critical thinking skills.
4. Formulate hypotheses, design experiments to test the hypotheses, analyze data, interpret results, and critically evaluate the existing literature.
5. Effectively communicate results of scientific experiments in both written research papers/reports and oral presentations
6. Identify the ethical and professional standards and regulations which govern neuroscience investigations using cells, animals, and humans

Curriculum Map B.S. in Neuroscience Curricular Map

I= introduce, R = reinforce, E = emphasize

Course	SLO 1	SLO 2	SLO3	SLO 4	SLO 5	SLO 6
BIO 302	I	I	I		I	I
CHE 230	I	I	-	-	-	-
CHE 231	R	R	-	-	-	-
CHE 232	I	I	-	-	-	-
CHE 233	R	R	-	-	-	-
PHY 211 and PHY 213 or PHY 231, PHY241, PHY 232, PHY 242	I, R	I, R	-	-	-	-
BIO 305	R	R	R	I	R	R
BCH 401G or CHE 550 and 552 or BIO 315	R	I	R	-	-	-
BIO 426	R	E	E	R	E	E
BIO 394 or ANA 394 or PSY 393	E	E	E	E	E	E

Appendix 5c. Assessment Plan

1. Introduction

Unit Mission Statement

The mission of the B.S. degree program in Neuroscience is to provide students with a broad, multidisciplinary education in fundamental and applied aspects of nervous system structure and function.

Basis Assessment Approach

Assessment of student learning will occur at both formative and summative stages of the core curriculum and will follow a three year assessment cycle, with two of the six student learning outcomes being assessed annually over the course of the three year cycle.

2. Assessment Oversight, Resources

The program Directors will also act as assessment coordinators. It is the responsibility of the Directors to monitor activities of assessment in all relevant courses and to solicit the assessment input from those course instructors. A meeting of all Directors will take place in mid-September of each year to evaluate all assessment and generate an assessment report, due no later than October 31st of each year.

3. Program Level Learning Outcomes

Student Learning Outcomes

1. Acquire and integrate knowledge regarding the structure and function of the nervous system at various levels including anatomical, behavioral, physiological, biochemical, cellular, and molecular.
2. Describe and identify methods and tools used in neuroscience research and identify the power and limitations of various approaches and methodologies
3. Investigate challenging research questions and develop critical thinking skills.
4. Formulate hypotheses, design experiments to test the hypotheses, analyze data, interpret results, and critically evaluate the existing literature.
5. Effectively communicate results of scientific experiments in both written research papers/reports and oral presentations
6. Identify the ethical and professional standards and regulations which govern neuroscience investigations using cells, animals, and humans

4. Curriculum/Artifact Map B.S. in Neuroscience

I= introduce, R = reinforce, E = emphasize

Course	SLO 1	SLO 2	SLO3	SLO 4	SLO 5	SLO 6
BIO 302	I exams	I exams	I		I	I exams
CHE 230	I	I	-	-	-	-
CHE 231	R	R	-	-	-	-
CHE 232	I	I	-	-	-	-
CHE 233	R	R	-	-	-	-
PHY 211 and PHY 213 or PHY 231, PHY241, PHY 232, PHY 242	I, R	I, R	-	-	-	-
BIO 305	R	R	R Laboratory Reports	I Laboratory Reports	R Laboratory Reports	R
BCH 401G or CHE 550 and 552 or BIO 315	R	I	R	-	-	-
BIO 426	R	E	E	R	E	E Oral Presentation
BIO 394 or ANA 394 or PSY 393	E Written Research Paper	E Independent Research Study	E Independent Research Study	E Independent Research Study	E Poster Presentation	E

- Orange highlights = formative assessments
- Yellow highlights = summative assessments

5. Assessment Methods and Measures

Indirect Methods:

Exams
Laboratory reports
Grade point average

Direct Methods:

Independent research competency (ability to design, implement and interpret research)
Written research report
Oral reports/presentation
Poster presentation

6. Data Collection and Review

Year 1: SLOs 1 and 2 will be assessed by analysis of exams in BIO 302 Introduction to Neuroscience (indirect, formative assessments) and research competency and written research papers in BIO 394/ANA 394/PSY 393 Research in Neuroscience (direct, summative assessments). Data will be collected by the teaching faculty member(s) and communicated to the Directors prior to Sept 1st of each year.

Year 2: SLOs 3 and 4 will be examined by analysis of descriptive laboratory reports written in BIO 305 Introduction to Neuroscience Techniques (indirect, formative assessment) and the execution of an independent laboratory experiments in BIO 394/ANA 394/PSY 393 Research in Neuroscience (direct, summative assessment). Data will be collected by the teaching faculty member(s) and communicated to the Directors prior to Sept. 1st of each year.

Year 3: SLOs 5 and 6 will be assessed by analysis of exams in BIO 302 and descriptive laboratory reports in BIO 305 Introduction to Neuroscience Techniques (indirect, formative assessments); one oral presentation in BIO 426 Seminar in Neuroscience (direct, summative assessment); and a poster presentation in BIO 394/ANA 394/PSY 393 Research in Neuroscience (direct, summative assessment). Data will be collected by the teaching faculty member(s) and communicated to the Directors prior to Sept. 1st of each year.

7. Assessment Cycle and Data Analysis

Assessment of student learning will occur at both formative and summative stages of the core curriculum and will follow a three year assessment cycle, with two of the six student learning outcomes being assessed annually over the course of the three year cycle. Faculty teaching in courses involving assessment will be maintain records of the relevant course-level assessment tools, including documentation of in-class assessment of oral report competency. Faculty of record will provide the Directors with relevant data prior to Sept. 1st of each year.

8. Teaching Effectiveness

All faculty of record will be evaluated using University Teacher Course Evaluations (TCEs) completed by their student each term. All TCEs are public record and accessed via the University website. The Directors will review the relevant TCEs of faculty of record each year. Areas of concern will be summarized and communicated to the individual faculty of record and a request for a plan of remediation will be made.

9. Plans to evaluate students' post-graduate success ?

The Directors will obtain data from the Alumni Survey annually and will additionally create a separate and brief web-based survey of educational and career outcomes to be communicated to all alumni electronically on an annual basis.

10. Appendices

Rubric for student learning outcomes

Student name:

Evaluator name:

Date:

SLO- Ratings	0	1	2	3
<i>1. Acquire and integrate knowledge regarding the structure and function of the nervous system at various levels including anatomical, behavioral, physiological, biochemical, cellular, and molecular.</i>	Student requires remedial support in one or more of the fundamental areas, at least, or fails to obtain a minimum grade point average of 2.00	Student demonstrates basic understanding of fundamental aspects of nervous system function with prompting	Student demonstrates mastery of nervous system function and structure	Student demonstrates excellent understanding and ability to communicate principles of nervous system function
Rating and comments:				
<i>2. Describe and identify methods and tools used in neuroscience research and identify the power and limitations of various</i>	Student is unfamiliar with appropriate methods and tools and/or student is unable to interpret power and limitations of	Student demonstrates basic familiarity with methods and tools, and with power and limitations of methods and tools	Student identifies appropriate methods and tools to provide specific information about nervous system function and/or structure	Student shows excellent depth of knowledge of methods and tools and/or in-depth knowledge of complementarity

<i>approaches and methodologies.</i>	methods and tools			use of methods and tools.
Rating and comments:				
<i>3. Investigate challenging research questions and develop critical thinking skills.</i>	Student is not able to complete guided laboratory exercises or show familiarity with relevant laboratory concepts	Student shows rudimentary capability to complete guided laboratory exercises with minor impediments.	Student demonstrates mastery of guided laboratory exercises with no impediments.	Student demonstrates independence in conducting laboratory exercises and excellence in interpretation of data.
Rating and comments:				
<i>4. Formulate hypotheses, design experiments to test the hypotheses, analyze data, interpret results, and critically evaluate the existing literature.</i>	Student is unable to independently to implement and interpret guided laboratory exercises	Student shows rudimentary independence in completing guided laboratory exercises with minor impediments.	Student demonstrates mastery of guided laboratory exercises with independence no impediments.	Student demonstrates excellent in interpretation of of laboratory exercises and extrapolation of relevant concepts.
Rating and comments:				
<i>5. Effectively communicate results of scientific experiments in both written research papers/reports and oral presentations</i>	Student has inability to factually convey laboratory approach and findings in written report or oral presentation form and inability to accurately interpret laboratory data	Student shows ability to factually convey laboratory approaches and findings in written or oral presentation form, with minor impediments.	Student shows mastery of communication of laboratory approaches, findings and interpretations in written and oral form.	Student demonstrates advanced complexity of communication of scientific approaches and findings in written or oral form.
Rating and comments:				

<p><i>6. Identify the ethical and professional standards and regulations which govern neuroscience investigations using cells, animals, and humans</i></p>	<p>Student is not able to accurately identify professional standards and relevant regulations</p>	<p>Student demonstrates knowledge of standards and regulations with minor impediments</p>	<p>Student demonstrates mastery of standards and regulations</p>	<p>Student demonstrates excellence in identification of standards and depth of knowledge of regulations.</p>
<p>Rating and comments:</p>				

Appendix 7m Guided Electives:

Students will choose at least one course from each of the four thematic areas below. Some courses are listed in more than one area. However, the same course cannot be used to satisfy two thematic requirements.

A) Cellular/Molecular		Credit Hours	Course Status
ANA 442G	Molecular and Cellular Neurobiology	(3)	existing
CHE 556	Elements of Neurochemistry	(3)	existing
BIO 510*	Recombinant DNA Tec Lab	(4)	existing
B) Physiology			
BIO 446	Neurophysiology Laboratory	(3)	existing
BIO 535*	Comparative Neurobiology and Behavior	(3)	existing
C) Neuroanatomy			
BIO 440	Comparative and Functional Neuroanatomy	(4)	existing
ANA 417G	Functional Human Neuroanatomy	(3)	existing
PSY 312	Brain and Behavior	(3)	existing
ANA 209	Principles of Human Anatomy	(3)	existing
D) Integrated			
PSY 312	Brain and Behavior	(3)	existing
BIO 375	Behavioral Ecology and Sociobiology	(3)	existing
ANA 410G	Neurobiology of Brain and Spinal Cord Disorders	(3)	existing
ANA 516*	Brain, Body and Mind	(3)	existing
BIO 507*	Biology of Sleep and Circadian Rhythms	(3)	existing
CGS 500	Cognitive Science in Theory and Practice	(3)	existing
CSD 571*	Neural Bases of Speech, Language, and Hearing	(3)	existing
PSY 459	Neuropharmacology: Drugs and Behavior	(3)	existing
BIO 447	Animal Senses	(3)	new

Other neuroscience-related courses at the 200-level or above, as approved by DUS in Neuroscience

* Requires consent of instructor

Appendix 18a. Program Core Courses (includes pre-major and pre-professional courses)

<u>Prefix & Number</u>	<u>Course Description (from the Bulletin or most recent new/change course form)</u>
BIO 302	Introduction to Neuroscience. This introductory course is designed to provide students with a basic understanding, at the physiological, cellular and molecular levels, of how the nervous system functions to create behavior. It will also introduce students to the consequences of abnormal system functioning brought about by either disease or injury. Prereq: BIO 152 or equivalent or permission of instructor
WRD 204	Technical Writing. Instruction and experience in writing for science and technology. Emphasis on clarity, conciseness, and effectiveness in preparing letters, memos, and reports for specific audiences. Prereq: Completion of University Writing requirement.
CHE 230	Organic Chemistry I. Fundamental principles and theories of organic chemistry. Prereq: CHE 107 and 113
CHE 231	Organic Chemistry Laboratory I. Laboratory for CHE 230 or CHE 236. Laboratory, three hours per week. Prereq: CHE 113; prereq or concur: CHE 230 or CHE 236
CHE 232	Organic Chemistry II. A continuation of CHE 230. Prereq: CHE 230.
CHE 233	Organic Chemistry Laboratory II. Laboratory, three hours per week. Prereq: CHE 231. Prereq or concur: CHE 232.
PHY 211	General Physics. First part of a two-semester survey of classical and modern physics, focusing on the motion of solids and fluids as governed by Newton's Laws and by the conservation laws of energy, momentum, and angular momentum. Lecture, two hours; recitation, two hours; laboratory, two hours. Credit is not given to students who already have credit for PHY 231 and 241. Prereq: A working knowledge of algebra as obtainable in MA 109 or MA 110 or MA 112, or an ACT math score of 25 or above, or a SAT math score of 590 or above.
PHY 213	General Physics. Continuation of PHY 211, covering electrostatics, de circuits, magnetism, Maxwell's Equations, electromagnetic radiation, light and some modern physics. Lecture, two hours; recitation, two hours; laboratory, two hours. Credit is not given to students who already have credit for PHY 232 and 242. Prereq: PHY 211 or equivalent.
BCH 401G	Fundamentals of Biochemistry. Descriptive chemistry of amino acids and proteins, carbohydrates, lipids, and nucleic acids. Discussion of structure and function; metabolism and bioenergetics; and biological information flow. At the undergraduate level, understanding is demonstrated through hour examinations; at the graduate level, understanding is demonstrated through hour examinations and a brief paper. Lecture, three hours; one optional conference. Prereq: CHE 107, CHE 236 and BIO 152 or equivalent

- BIO 315 Introduction to Cell Biology. The structure and function of cells will be considered. Emphasis will be placed on the ultrastructure of cell organelles in plants and animals as a framework for understanding the compartmentalized nature of cell activity. Lecture, three hours; laboratory three hours/weekly. Prereq: BIO 303 and BIO 304. Coreq: CHE 230 or equivalent. Or consent of instructor.
- BIO 305 Introduction to Neuroscience. This introductory laboratory course will provide students with practical knowledge and hands-on experience in basic behavioral, anatomical and physiological techniques used by laboratory scientists in the investigation of the nervous system. It is designed as a gateway to independent research experiences in working neuroscience laboratories.
- MA 113 Calculus I. A course in one-variable calculus, including topics from analytic geometry. Derivatives and integrals of elementary functions (including the trigonometric functions) with applications. Lecture, three hours; recitation, two hours per week. Students may not receive credit for MA 113 and MA 137. Prereq: Math ACT of 27 or above, or math SAT of 620 or above, or MA 109 and MA 112, or MA 110, or consent of the department. Students who enroll in MA 113 based on their test scores should have completed a year of pre-calculus study in high school that includes the study of the trigonometric function. Note: Math placement test recommended. *an alternative to MA 137.
- PHY 231 General University Physics. First part of a two-semester survey of classical physics. Consequences of the principles of mechanics are developed conceptually, analytically and quantitatively. Lecture, three hours; recitation, one hour per week. Prereq or concur: MA 113. * an alternative to PHY 211
- PHY 241 General University Physics Laboratory. A laboratory course offering experiments in mechanics and heat, framed in a small group environment that requires coordination and team work in the development of a well-written lab report. Prereq or concur: PHY 231. * an alternative to PHY 213
- PHY 232 General University Physics. A general course covering electricity, magnetism, electromagnetic waves and physical optics. Lecture, three hours; recitation, one hour per week. Prereq: PHY 231; concur: MA 213. *an alternative to PHY 211
- PHY 242 General University Physics Laboratory. A laboratory course offering experiments in electricity, magnetism, and light, framed in a small group environment that requires coordination and team work in the development of a well written lab report. Prereq: PHY 241; concur: PHY 232. * an alternative to PHY 213
- BIO 394 Research in Neuroscience. An independent research project in an area of neuroscience under the direction of a faculty mentor. A research contract signed by the student and the faculty research mentor must be approved by the Director of Undergraduate Studies (Neuroscience). May be repeated to a maximum of 12 credits, but a maximum of only 6 credits may be used to satisfy the requirements of the minor or major in Neuroscience. Prereq: BIO 152 and BIO 302 or PSY 312

- BIO 426 Seminar in Neuroscience. This seminar course develops effective analysis, presentation and discussion skills required of science majors by exploring one neuroscience topic in detail.
- ANA 394 Independent research in Neurobiology and Neuroscience . ANA 394 is designed to provide students with an intensive experience in laboratory or field research. Participants should take an active role in the design and execution of experiments and in the analysis and interpretation of data. They should be capable of "independent research" in the sense that they can conduct the experiments with little direct supervision. Students are expected to become familiar with related research in the current literature by regularly reading scientific journals. The student is expected to devote at least 3-4 hours per week for each credit hour enrolled to laboratory work, although often more time is necessary.
- PSY 393 Research in Neuroscience. An independent research project in an area of neuroscience under the direction of a faculty mentor. A research contract must be signed by the student and the faculty research mentor. May be repeated to a maximum of 12 credits, in combination with other independent research credit hours. They should be capable of doing "independent research" in the sense that they can conduct the experiments with little direct supervision. Students are expected to become familiar with related research in the current literature by regularly reading scientific journals
- CHE 550 Biological Chemistry I. An introduction to biological chemistry. Topics include amino acids and proteins; nucleic acids and nucleotides; enzyme structure, function and energetics; metabolism including glycolysis; the tricarboxylic acid cycle; electron transport and oxidative phosphorylation; glycogen metabolism; hormone action; and other aspects of modern biological chemistry. Prereq: CHE 232 and a physical chemistry course at or above the 400 level, or consent of instructor.
- CHE 552 Biological Chemistry II. A further introduction to biological chemistry. Topics include lipid metabolism, biosynthesis and metabolism of nitrogen-containing compounds, storage and utilization of genetic information, immunochemistry, and other contemporary topics in biological chemistry Prereq: CHE 232 and a physical chemistry course at or above the 400 level, or consent of instructor.

Appendix 18b Program Guided Electives:

Students will choose at least one course from each of the four thematic areas below. Some courses are listed in more than one area. However, the same course cannot be used to satisfy two thematic requirements.

Prefix & number Course Description (from the Bulletin or most recent new/change course form)

A) Cellular/Molecular

- ANA 442G Molecular and Cellular Neurobiology. This 3-credit hour course is designed to be an introductory course for undergraduate students aimed at providing an overview of major principles and techniques associated with cellular and molecular neurobiology. Subject matter is intended to range from molecular mechanisms underlying neuronal signaling and cellular function to how these properties are invoked across simple networks, neural systems, and behavior.
- CHE 556 Elements of Neurochemistry. A course in the neurochemistry of the brain. Among topics to be covered: brain cell cytoarchitecture; chemical bases for: neuronal membrane transport, electrical excitability, and ion channels; axonal transport; energy metabolism; synaptic transmission; cellular signaling; Ca²⁺ homeostasis; neurotransmitters; oxidative stress; apoptosis and necrosis; application of neurochemical principles to the molecular bases of neurodegenerative disorders. Prereq: CHE 232 and a biological chemistry course, or consent of instructor.
- BIO 510* Recombinant DNA Technology Laboratory. An introduction to the construction, isolation, and analysis of recombinant DNA clones, with emphasis on practical experience in basic techniques. Graduate students will be given first preference in course enrollment. Lecture, one hour; laboratory, 6 hours per week. Prereq: BIO 304 and BIO 315 or equivalent with consent of instructor

B) Physiology

- BIO 446 Neurophysiology Laboratory. This course will focus on experimentation in neurophysiology. The generation of receptor potentials in sensory neurons will be measured in addition to action potentials in axons. Pharmacological experimentation of ionotropic and metabotropic receptors subtypes and second messengers signaling will be conducted. The key role of ion channels and transporters in regulation of the membrane potential will be examined. The concept of electrochemical equilibrium will be introduced and the quantitative examination of the equilibrium membrane potential will include discussion of Goldman and Nernst equations and their applications. The mechanisms of action potential generation, as a result of synaptic and receptor stimulation within a neural cell, will be measured in lecture and laboratory. Prerequisites: BIO 302 or BIO 350 or consent of Instructor

BIO 535* Comparative Neurobiology and Behavior. The course consists of an introduction to neurophysiology and study of the neural basis of sensory processing and motor patterns. A comparative analysis of the neurobiological basis of behavioral responses will be made, utilizing a broad range of vertebrates and invertebrates. Prereq: BIO 350 or consent of instructor. (Same as PGY 535.)

C) Neuroanatomy

BIO 440 Comparative and Functional Neuroanatomy. Explores the cellular bases for sensory, integrative and motor neuroscience from an evolutionary perspective, delineating common features of all nervous systems ranging from cnidarian nerve nets to ventral nerve cords of most invertebrates to the chordate/vertebrate central nervous systems. Discovery of the common features of nervous structure in model system organisms with the human brain will provide students a perspective on the value of model systems for future study. Functional analyses of nervous system structures will enable students to identify anatomical bases for neural function and behavior.

ANA 417G This course provides an introductory level of understanding of human central nervous system (CNS) anatomy and function. Lecture topics will explore the CNS based on structures that make up functional systems (e.g., motor, sensory, visual, etc.), how these systems interact, and examples of how a loss of function results in disease conditions.

PSY 312 Brain and Behavior. An introduction to structural and functional characteristics of the nervous system. The emphasis is on exploring the relationship between brain and behavior. Topics range from simple structures and behaviors to more complex functions. The biological basis of normal and abnormal behavior is explored from a multidisciplinary perspective. Prereq: PSY 100 or equivalent and PSY 215 or 216 and PSY major or minor. Registration is open only to PSY majors during the priority registration window.

ANA 209 The structure of the human body will be examined at various levels: cellular, tissues and organ systems. The gross anatomical arrangement of the body will be studied in a system-by-system format relating structure to function and the fundamentals of human embryology/ malformation with adult anatomy. The central nervous system will be emphasized. Prereq: Introductory biology or zoology.

D) Integrated

PSY 312 Brain and Behavior. An introduction to structural and functional characteristics of the nervous system. The emphasis is on exploring the relationship between brain and behavior. Topics range from simple structures and behaviors to more complex functions. The biological basis of normal and abnormal behavior is explored from a multidisciplinary perspective. Prereq: PSY 100 or equivalent and PSY 215 or 216 and PSY

major or minor. Registration is open only to PSY majors during the priority registration window.

- BIO 375** Behavioral Ecology and Sociobiology. This course will explore the selective forces influencing animal behavior, such as foraging, predator avoidance, mate choice, parental care, and social interaction. Specific phenomena to be explored include the evolution of optimal foraging and search images, extravagant male characteristics, female preferences, conflicts between the sexes, infanticide, parent-offspring conflict, dominance hierarchies, optimal group size, altruism, and eusociality. The study of these behaviors integrates ideas and approaches from ecology, genetics, physiology, and psychology. Students will be encouraged to read outside material, to think carefully, logically, and critically about ideas, and to ask questions and defend their views in class. Prereq: A year of introductory biology (BIO 150/152).
- ANA 410G** Neurobiology of Brain and Spinal Cord Disorders. ANA 410G is a multidisciplinary discussion of neurodegenerative diseases and neurologic disorders. The course objective is to provide an in depth understanding of the basic science and clinical symptoms of selected neurologic disorders and neurodegenerative diseases, current treatment strategies and new approaches for treatment and potential cure of these devastating illnesses. Included are such topics as the 1) subcellular and molecular basis of the diseases, 2) the role of genetics in aging and neurodegeneration, 3) mechanisms of cell death, and 4) the cellular/molecular basis of neurodegenerative diseases and neurologic disorders. The format of the course will consist of a series of formal lectures and informal discussion sessions. Reference materials will be recent review articles. Graduate students taking the course will present studies from the primary medical literature in a journal club format and will also prepare a paper examining one disorder in detail. This course will be of interest to advanced students from a variety of disciplines whose interests concern brain and spinal cord disorders.
- ANA 516** Brain, Body and Mind. ANA 516 will cover advanced topics in neuroscience. Topics include: neural pathways, development, neuroanatomy, neurobiochemistry, neuropharmacology, neural imaging and molecular neuroscience. Laboratory experiences will be used to complement lectures. Prereq: ANA 511, 512, 513; PGY 511; and enrollment in the College of Medicine or a graduate program in the bio-medical sciences. In addition, students from graduate programs outside of anatomy must obtain the consent of the course director before registration
- BIO 507*** Biology of Sleep and Circadian Rhythms. This course provides an introduction to the fields of sleep and circadian rhythms including the underlying neuroanatomy, neurophysiology, and the molecular and genetic underpinnings of sleep and circadian behaviors. The medical and societal relevance of these areas will also be emphasized. Considerable time will be spent reading and analyzing the primary literature in these

fields, including student presentations of selected articles. Prereq: BIO 304; BIO 315; BIO 350 (or equivalent).

- CGS 500 Cognitive Science in Theory and Practice. This course will introduce upper-level undergraduate students (and lower-level graduate students) to Cognitive Science, an interdisciplinary field that seeks to study the mind from the perspective of various disciplines: Biology, Computer Science, Linguistics, the Neurosciences, Philosophy, and Psychology. The course will consist of modules in at least four of these six disciplines. Prereq: Upper-class standing
- CD 571* Neural Bases of Speech, Language, and Hearing. Detailed investigation of the neuroanatomy and neurophysiology of speech, language, and hearing from a communication sciences perspective. Emphasis on anatomy and physiology of the central nervous system, neurodevelopment, and normal neural substrates involved in speech, language, and hearing. Prereq: CSD 378 or permission of the instructor.
- PSY 459 Neuropharmacology: Drugs and Behavior. General principles of drug action from a physiological perspective. Major emphasis is on the psychoactive drugs encountered in experimental, clinical and social settings. Prereq: PSY 215 and PSY 312, or BIO 148 or equivalent. Other neuroscience-related courses at the 200-level or above, as approved by DUS in Neuroscience
- BIO 477 Animal Senses: Advanced study of how animals use sensory abilities to communicate, navigate, and detect prey, predators and mates. We will focus on extreme and unusual sensory systems such as echolocation, electroreception, and magnetoreception, as well as vision, smell, touch, and hearing. Graduate students are required do additional research and to present their term paper orally and/or in writing.

* requires consent of instructor

ity involved in the degree program.

<u>Courses Taught</u>	<u>Academic Degree and Coursework</u>	<u>Other qualifications and comments</u>
BIO 302 Introduction to Neuroscience (3) (UN) BIO 305 Introduction to Neuroscience Techniques (3) (UN) Research in Neuroscience (3-12) (UN) BIO 426 Seminar in Neuroscience (1) (UN)	Ph.D., Univ. Virginia Biology BIO 302	Program Director
BIO 302 Introduction to Neuroscience (3) (UN) BIO 394 Research in Neuroscience (3-12) (UN) BIO 426 Seminar in Neuroscience (1) (UN)	Ph.D. Johns Hopkins Univ. Biology BIO 302	NA
BIO 394 Research in Neuroscience (3-12) (UN) BIO 426 Seminar in Neuroscience (1) (UN)	Ph.D., Texas Tech Univ. Physiology BIO 302 BIO 650 Neurophysiology Laboratory	NA
BIO 394 Research in Neuroscience (3-12) (UN)	Ph.D., Univ. of Oregon Biology BIO 380 Biology of Sex	Chair, Biology
BIO 315 Introduction to Cell Biology (4) (UT)	Ph.D., Princeton Univ. Molecular Biology BIO 315	NA
PSY 393 Research in Neuroscience (3-12) (UN) BIO 305 Introduction to Neuroscience Techniques (3) (UN)	Ph.D. Univ. Nebraska Psychobiology PSY 312, PSY 459	Program Director
BIO 302 Introduction to Neuroscience (3) (UN) BIO 394 Research in Neuroscience (3-12) (UN)		

BIO 302 Introduction to Neuroscience (3) (UN)	Ph.D., Univ.	Program Director
BIO 305 Introduction to Neuroscience Techniques (4) (UN)	Saskatchewan	
ANA 394 Independent Research in Neurobiology and Neuroscience (3-12) (UN)	Biochemistry	
	BIO 302, BIO 305	
ANA 494 Independent Research in Neurobiology and Neuroscience (3-12) (UN)	Ph.D., Dartmouth College	Chair, Anatomy and Neurobiology
	Biology	
	ANA 516 Brain, Body, and Mind	
CHE 231 Organic Chemistry Laboratory (1) (UT)	Ph.D., Univ. Kentucky	NA
CHE 232 Organic Chemistry II (3) (UT)	Chemistry	
	CHE 231, CHE 232	
CHE 230 Organic Chemistry I (3) (UT)	Ph.D., Univ. of Florida	NA
CHE 232 Organic Chemistry II (3) (UT)	Chemistry	
	CHE 230, CHE 232	
CHE 232 Organic Chemistry II (3) (UT)	Ph.D., Georgia Institute of Technology	NA
	Chemistry	
	CHE 232	
CHE 230 Organic Chemistry I (3) (UT)	Ph.D., Massachusetts Institute of Technology	
CHE 232 Organic Chemistry II (3) (UT)	Chemistry	NA
	CHE 230, 232	
BCH 401G Fundamentals of Biochemistry (3) (UT)	Ph.D., Stanford Univ.	NA
	Biochemistry	
	BCH 401G	
BCH 401G Fundamentals of Biochemistry (3) (UT)	Ph.D., Heinrich-Heine Univ.	NA
	Molecular Biology	
	BCH 401G	

(FT)	BCH 401G Fundamentals of Biochemistry (3) (UT)	Ph.D., Vanderbilt Univ. Biochemistry BCH 401G	NA
dorf (FT)	BCH 401G Fundamentals of Biochemistry (3) (UT)	Ph.D., Molecular Genetics BCH 401G	NA
	PHY 211 General Physics (5) (UT)	Ph.D., Oxford Univ. Physics PHY 211	NA
	PHY 213 General Physics (5) (UT)	Ph.D., Temple Univ. Physics PHY 213	NA
	PHY 231 General University Physics (4) (UT) PHY 232 General University Physics (4) (UT)	Ph.D., Iowa State Univ. Physics PHY 231, PHY 232	NA
	PHY 241 General University Physics Laboratory (1) (UT) PHY 242 General University Physics Laboratory (1) (UT)	M.S., St. Bonaventure Univ. Physics PHY 241, PY 242	NA
	CHE 550 Biological Chemistry I (3) (UT) CHE 552 Biological Chemistry II (3) (UT)	Ph.D., Duke Univ. Physical Chemistry CHE 550, CHE 552 CHE 556	NA

Student enrollment in the neuroscience major programs in benchmark institutions

Benchmark Institution	Major Program	2011/2012 academic year	2012/2013 academic year	2013/2014 academic year	2014/2015 academic year (Fall semester only)
Michigan State Univ.	Neuroscience	program not started yet	132	330	411
Ohio State Univ.	Neuroscience	78	237	515	890
Univ. California Davis	Neurobiology, Physiology and Behavior	938	1024	1152	1322
Univ. Michigan	Neuroscience	395	505	536	451
Univ. Minnesota	Neuroscience	178	193	219	224
Institution	Major Program	2011/2012 academic year	2012/2013 academic year	2013/2014 academic year	2014/2015 academic year (Fall semester only)
Transylvania University	Neuroscience	program not started yet	program not started yet	6	29
Morehead State University	Neuroscience			Approved Fall 2014	



Department of Anatomy and Neurobiology
MN225 Medical Sciences Building
Lexington, KY 40536-0298

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Fax: 859 257-3625

www.uky.edu

15 January 2015

TO: Office of the Registrar

From: Dr. Don M. Gash
MN 220 Medical Science Building
Professor and Chair
Anatomy and Neurobiology

Re: ANA 516 Section 001 Undergraduate Enrollment

This letter verifies that ANA 516 Section 001 will be an acceptable elective for the Neuroscience major. Undergraduates will be able to enroll in the course if they have the prerequisite of BIO 302 Introduction to Neuroscience. ANA 516 Section 001 will not require any of the graduate/COM prerequisites. The course will remain under controlled enrollment to ensure spaces for the undergraduates. Students will simply need to email the instructor of record to request an override to enroll in the course. Currently, ANA 516-001 has 4 undergraduates enrolled for Spring 2015.

Please contact me if you have any further questions or concerns.

Thank you!

Prendergast, Mark A

From: Gash, Don M
Sent: Tuesday, November 18, 2014 10:49 AM
To: Prendergast, Mark A
Subject: Re: Request to respond: new program proposal

Importance: High

Mark,

As Chair of Anatomy and Neurobiology, I confirm that our department has voted unanimously to participate in the new Neuroscience Program described below. Our faculty has agreed to teach the listed courses on a periodic basis. The multidisciplinary collaboration is demonstrated in part by Jim Geddes' role in working with you and Liz Debski in developing this program. Jim's primary appointment is in Anatomy and Neurobiology.

Thank you for spearheading the development of this program. It has my full support. Let me know if any additional information is needed.

Don

Don M. Gash, Ph.D.
Alumni Endowed Chair
Professor and Chair
Anatomy & Neurobiology
MN220 Medical Science Building
University of Kentucky
Lexington, KY 40536-0098

From: "Prendergast, Mark A" <prender@uky.edu>
Date: Tue, 18 Nov 2014 10:14:52 -0500
To: Don Gash <dongash@uky.edu>
Subject: Request to respond: new program proposal

Dear Dr. Gash

I am writing on behalf of the Drs. Liz Debski, Jim Geddes and myself to inform you of a new Bachelor of Science degree in Neuroscience that is being developed at the University of Kentucky and will be housed in the Department of Biology. This proposal represents a multidisciplinary approach to education in Neurosciences and involves the participation of many colleges and departments.

We respectfully request two responses from you.

- (1) We ask that you provide, and indicate, your support for the development of this new program, and
- (2) We ask that you provide your approval in listing the following course(s), offered Department of Anatomy and Neurobiology, as part of the curriculum for a proposed Bachelor of Science major in Neuroscience. * please note that in agreeing to have this course(s) listed in the new program proposal you are not committing to provide any specific seats in this course(s) or department resources.

We believe that the courses listed below will be of value to our future majors and that the possible inclusion of Neuroscience students in your course(s) may be an asset to you. We hope that you will consent to our including this

course(s) in the Neuroscience curriculum as either a "recommended", "alternative (meaning it is one of multiple options that may satisfy a requirement)" "elective", or "required" course(s). A response in the affirmative from Department Chairs with courses listed on this proposal is required for inclusion of the course(s) in our proposal.

<u>Recommended Course</u>	<u>Alternative Course</u>	<u>Elective Course</u>	<u>Required Course</u>
		ANA 309	
		ANA 394	
		ANA 410G	
		ANA 417G	
		ANA 442G	
		ANA 516	

The proposal requires that each department address 3 components of the proposed curriculum with regard to their own courses:

1. *Demonstration of true collaboration between multiple units*
2. *Impact of the course's use on home educational unit*
3. *Verification that the chair/director has consent from the faculty members of the academic unit*

You may reply simply by responding to this email. We respectfully request that you do so at your earliest convenience. Please do not hesitate to contact me if you have any questions or concerns regarding this request.

Best regards,

Mark A. Prendergast, Ph.D.
Professor

Mark A. Prendergast, Ph.D.
University Research Professor
Director UK STAR
Department of Psychology
Spinal Cord and Brain Injury Research Center
B449 BBSRB
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Prendergast, Mark A

From: Yates, Steven W
Sent: Thursday, December 11, 2014 5:09 PM
To: Prendergast, Mark A; Geddes, James
Cc: Butterfield, D A
Subject: RE: Request to respond: new program proposal

Mark and Jim,

Allan presented the neuroscience curriculum to the faculty of the Department of Chemistry at today's faculty meeting and led a discussion of the neuroscience major. At the end of the discussion, the faculty voted unanimously in support of the neuroscience major, and I am pleased to report that the three components of the proposed curriculum given below are affirmed.

1. *Demonstration of true collaboration between multiple units*
2. *Impact of the course's use on home educational unit*
3. *Verification that the chair/director has consent from the faculty members of the academic unit*

Best regards,

Steve

*Steven W. Yates, Interim Chair, Department of Chemistry
Arts and Sciences Distinguished Professor
Director, UK Accelerator Laboratory <http://www.pa.uky.edu/accelerator/>
Departments of Chemistry and Physics & Astronomy
307 Chemistry-Physics Building
University of Kentucky, Lexington, KY 40506-0055 USA
(859)257-4005 (859)323-9985 (fax) yates@uky.edu
<http://www.as.uky.edu/users/yates>*

From: Butterfield, D A
Sent: Tuesday, November 18, 2014 10:28 AM
To: Yates, Steven W
Cc: Cammers, Arthur; Meier, Mark
Subject: FW: Request to respond: new program proposal
Importance: High

Steve (copy to Arthur Cammers and Mark Meier—who championed this major in Neuroscience when chair),

Please see the email from Dr. Mark Prendergast below. I would like to reply in the affirmative to Dr. Prendergast TODAY, since I am leaving for the Society for Free Radical Biology and Medicine National Meeting tomorrow morning. Basically, the BS in Neuroscience program would like to list our General and Organic lecture and laboratory courses as those that would be required of Neuroscience majors, and CHE 550, CHE 552, and CHE 556 (Neurochemistry) as courses Neuroscience students could choose among to complete major field requirements. I see this as a win-win for Chemistry, but I believe I need Departmental Chair approval before responding.

I would appreciate your approval to respond to Dr. Prendergast today.

Thanks,
Allan

D. Allan Butterfield, Ph.D.
The Alumni Association Endowed Professor of Biological Chemistry;
Director, Center of Membrane Sciences; Director, Free Radical Biology
in Cancer Shared Resource Facility, Markey Cancer Center;
Faculty Associate, Spinal Cord and Brain Injury Research Center;
Faculty, Sanders-Brown Center on Aging; and
Fellow, Society of Free Radical Biology and Medicine
249 Chemistry-Physics Building
University of Kentucky
Lexington, KY 40506-0055
<http://chem.as.uky.edu/users/dabcns>

Chemistry Phone: (859) 257-3184
Center of Membrane Sciences Phone: (859) 257-5875
Chemistry FAX: (859) 323-1069
Center of Membrane Sciences FAX: (859) 323-1464
e-mail: dabcns@uky.edu

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From: Prendergast, Mark A
Sent: Tuesday, November 18, 2014 10:18 AM
To: Butterfield, D A
Subject: Request to respond: new program proposal
Importance: High

Dear Dr. Butterfield

I am writing on behalf of the Drs. Liz Debski, Jim Geddes and myself to inform you of a new Bachelor of Science degree in Neuroscience that is being developed at the University of Kentucky and will be housed in the Department of Biology. This proposal represents a multidisciplinary approach to education in Neurosciences and involves the participation of many colleges and departments.

We respectfully request two responses from you.

- (1) We ask that you provide, and indicate, your support for the development of this new program, and
- (2) We ask that you provide your approval in listing the following course(s), offered by the Department of Chemistry, as part of the curriculum for a proposed Bachelor of Science major in Neuroscience. * please note that in agreeing to have this course(s) listed in the new program proposal you are not committing to provide any specific seats in this course(s) or department resources.

We believe that the courses listed below will be of value to our future majors and that the possible inclusion of Neuroscience students in your course(s) may be an asset to you. We hope that you will consent to our including this course(s) in the Neuroscience curriculum as either a "recommended", "alternative (meaning it is one of multiple options that may satisfy a requirement)" "elective", or "required" course(s). A response in the affirmative from Department Chairs with courses listed on this proposal is required for inclusion of the course(s) in our proposal.

<u>Recommended Course</u>	<u>Alternative Course</u>	<u>Elective Course</u>	<u>Required Course</u>
		CHE 550	CHE 105

CHE 552
CHE 556

CHE 107
CHE 111
CHE 113
CHE 230
CHE 231
CHE 232
CHE 233

The proposal requires that each department address 3 components of the proposed curriculum with regard to their own courses:

1. *Demonstration of true collaboration between multiple units*
2. *Impact of the course's use on home educational unit*
3. *Verification that the chair/director has consent from the faculty members of the academic unit*

You may reply simply by responding to this email. We respectfully request that you do so at your earliest convenience. Please do not hesitate to contact me if you have any questions or concerns regarding this request.

Best regards,

Mark A. Prendergast, Ph.D.
Professor

Mark A. Prendergast, Ph.D.
University Research Professor
Director UK STAR
Department of Psychology
Spinal Cord and Brain Injury Research Center
B449 BBSRB
741 S. Limestone St.
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Prendergast, Mark A

From: shapere@gmail.com on behalf of Al Shapere <shapere@pa.uky.edu>
Sent: Wednesday, December 10, 2014 5:42 PM
To: Prendergast, Mark A
Subject: Re: FW: follow up on new program proposal

[Sorry this got delayed due to the end-of-semester crunch.]

Dear Mark,
The Department of Physics and Astronomy fully supports the proposed new major in Neuroscience. Although the Physics courses are listed as Alternative, we expect that they will play an important role in the Neuroscience curriculum. We should be able to accommodate the additional students that the program is expected to attract. The proposal has the consent of the Chair, Associate Chair, the Director of Undergraduate Studies, and the faculty members belonging to the Undergraduate Program Curriculum Committee. I look forward to hearing more about the program as it develops.
Sincerely,
Al Shapere
Associate Chair of Physics and Astronomy

--

Dept. of Physics and Astronomy
Chemistry-Physics Building, Room 365
University of Kentucky
Lexington KY 40506-0055
Tel: (859) 444-4534

On Wed, Dec 10, 2014 at 3:27 PM, Prendergast, Mark A <prender@uky.edu> wrote:

Hi Al

Could we possibly get your email indicating your support for the new major and the use of your courses in our proposed curriculum ?

Thanks

Mark

From: Prendergast, Mark A
Sent: Tuesday, November 25, 2014 10:20 AM
To: shapere@pa.uky.edu
Subject: follow up on new program proposal

Dear Dr. Das/Shapere

I am writing on behalf of the Drs. Liz Debski, Jim Geddes and myself to inform you of a new Bachelor of Science degree in Neuroscience that is being developed at the University of Kentucky and will be housed in the Department of Biology. This proposal represents a multidisciplinary approach to education in Neurosciences and involves the participation of many colleges and departments.

We respectfully request two responses from you.

- (1) We ask that you provide, and indicate, your support for the development of this new program, and
- (2) We ask that you provide your approval in listing the following course(s), offered Department of Physics and Astronomy, as part of the curriculum for a proposed Bachelor of Science major in Neuroscience. * please note that in agreeing to have this course(s) listed in the new program proposal you are not committing to provide any specific seats in this course(s) or department resources.

We believe that the courses listed below will be of value to our future majors and that the possible inclusion of Neuroscience students in your course(s) may be an asset to you. We hope that you will consent to our including this course(s) in the Neuroscience curriculum as either a "recommended", "alternative (meaning it is one of multiple options that may satisfy a requirement)" "elective", or "required" course(s). A response in the affirmative from Department Chairs with courses listed on this proposal is required for inclusion of the course(s) in our proposal.

<u>Recommended Course</u>	<u>Alternative Course</u>	<u>Elective Course</u>	<u>Required Course</u>
	PHY 211*		
	PHY 213*		
	PHY 231*		
	PHY 232*		
	PHY 241*		
	PHY 242*		

*please note that some combination of these courses is required

The proposal requires that each department address 3 components of the proposed curriculum with regard to their own courses:

1. *Demonstration of true collaboration between multiple units*
2. *Impact of the course's use on home educational unit*
3. *Verification that the chair/director has consent from the faculty members of the academic unit*

You may reply simply by responding to this email. We respectfully request that you do so at your earliest convenience.

Please do not hesitate to contact me if you have any questions or concerns regarding this request.

Best regards,

Mark A. Prendergast, Ph.D.

Professor

Mark A. Prendergast, Ph.D.

University Research Professor

Director UK STAR

Department of Psychology

Spinal Cord and Brain Injury Research Center

B449 BBSRB

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University of Kentucky

Lexington, KY 40536

Telephone: +1 (859) 257-6120

Prendergast, Mark A

From: Andres, Douglas A
Sent: Thursday, November 20, 2014 11:01 AM
To: Prendergast, Mark A
Subject: RE: Request to respond: new program proposal

Dr. Pendergast,

I am writing in support of the new Neuroscience program and would be pleased to have BCH401G listed as an alternative Course for students within the program.

Best regards,

Douglas A. Andres, Ph.D.
Professor and Chair
Department of Molecular & Cellular Biochemistry
University of Kentucky College of Medicine
BBSRB 283
741 S. Limestone Street
Lexington, KY 40536-0509
Tel Office: 859-257-6775
Lab: 859-257-6776
FAX: 859-323-5505
dandres@uky.edu
visit our website at <http://biochemistry.med.uky.edu/>

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From: Prendergast, Mark A
Sent: Tuesday, November 18, 2014 10:13 AM
To: Andres, Douglas A
Subject: Request to respond: new program proposal
Importance: High

Dear Dr. Andres

I am writing on behalf of the Drs. Liz Debski, Jim Geddes and myself to inform you of a new Bachelor of Science degree in Neuroscience that is being developed at the University of Kentucky and will be housed in the Department of Biology. This proposal represents a multidisciplinary approach to education in Neurosciences and involves the participation of many colleges and departments.

We respectfully request two responses from you.

- (1) We ask that you provide, and indicate, your support for the development of this new program, and

(2) We ask that you provide your approval in listing the following course(s), offered Department of Molecular and Cellular Biochemistry, as part of the curriculum for a proposed Bachelor of Science major in Neuroscience. * please note that in agreeing to have this course(s) listed in the new program proposal you are not committing to provide any specific seats in this course(s) or department resources.

We believe that the courses listed below will be of value to our future majors and that the possible inclusion of Neuroscience students in your course(s) may be an asset to you. We hope that you will consent to our including this course(s) in the Neuroscience curriculum as either a "recommended", "alternative (meaning it is one of multiple options that may satisfy a requirement)" "elective", or "required" course(s). A response in the affirmative from Department Chairs with courses listed on this proposal is required for inclusion of the course(s) in our proposal.

<u>Recommended Course</u>	<u>Alternative Course</u>	<u>Elective Course</u>	<u>Required Course</u>
	BCH 401G		

The proposal requires that each department address 3 components of the proposed curriculum with regard to their own courses:

1. *Demonstration of true collaboration between multiple units*
2. *Impact of the course's use on home educational unit*
3. *Verification that the chair/director has consent from the faculty members of the academic unit*

You may reply simply by responding to this email. We respectfully request that you do so at your earliest convenience. Please do not hesitate to contact me if you have any questions or concerns regarding this request.

Best regards,

Mark A. Prendergast, Ph.D.
Professor

Mark A. Prendergast, Ph.D.
University Research Professor
Director UK STAR
Department of Psychology
Spinal Cord and Brain Injury Research Center
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January 22, 2014

Dr. Mark Prendergast
Co-Director Neuroscience Major
College of Arts and Sciences
University of Kentucky

Dear Mark

On behalf of the Department of Biology at the University of Kentucky I am pleased to provide this letter of support for the new interdisciplinary major in neuroscience. The Biology faculty voted unanimously to support the creation of this minor and for the inclusion of BIO 148, BIO152, BIO 155, BIO 302, BIO 305, BIO 375, BIO 394, BIO 426, BIO 440, BIO 446, BIO 447, BIO 507, and BIO 535 as required and/or elective courses in the program.

Yours,

A handwritten signature in black ink, appearing to read "Vincent Cassone". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Vincent Cassone
Chair, Department of Biology

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Wednesday, April 22, 2015 10:48 AM
To: Hippisley, Andrew R; Brothers, Sheila C
Subject: Proposed new Undergraduate Certificate: Distillation, Wine and Brewing Studies
Attachments: Distillation Wine and Brewing Studies UG Certificate-new (Revised 4-21-15).pdf

Proposed New Undergraduate Certificate: Distillation, Wine and Brewing Studies

This is a recommendation that the University Senate approve the establishment of a new Undergraduate Certificate: Distillation, Wine and Brewing Studies, in the Department of Horticulture in the College of Agriculture, Food and Environment.

The revised proposal is attached. This approval assumes the new courses that went with this proposal are approved or are on the way to approval.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of Mathematics Education | [STEM PLUS Program Co-Chair](#)
| [Department of STEM Education](#) | [University of Kentucky](#) | [www.margaretmohrschroeder.com](#)



October 13, 2014

MEMORANDUM

TO: Karen Badger, Chair, Undergraduate Council
FROM: *Larry Grabau*
Larry Grabau, Chair, Undergraduate Curriculum Committee, CAFE
RE: Proposed Undergraduate Certificate in Distillation, Wine and Brewing Studies

Seth DeBolt and his colleagues from all across campus have been working for months to put together the attached proposal for a new undergraduate certificate in Distillation, Wine and Brewing Studies (DWBS). This certificate will require students to take a pair of three-credit courses:

- 1) A&S 306, Spirit Chemistry, directed by Bert Lynn of the Department of Chemistry, and
- 2) PLS 335, Distillation, Wine and Brewing Science, directed by Seth DeBolt of the Department of Horticulture.

Eleven other courses are listed as choices for students to take to fill out their twelve-credit requirement; approximately a dozen faculty members have pledged their involvement to the DWBS certificate program as course instructors.

Seth DeBolt will serve as the Certificate Director and Bert Lynn will serve as the Certificate co-Director; the core leadership group for the certificate will also include Rodney Andrews (Chemical and Materials Engineering), Melissa Newman (Animal and Food Sciences), Tricia Day (Retailing and Tourism Management), and Jeff Rice (Writing, Rhetoric, and Digital Studies).

Several of the courses listed for this program (including both of the required courses) are new courses; indeed some have not yet been submitted for formal approval.

Finally, this letter is followed by the formal application materials, along with a series of letters of support from the appropriate chairs (representing their faculty members).

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An Undergraduate Certificate is an integrated group of courses (as defined here 12 or more credits) that are 1) cross-disciplinary, but with a thematic consistency, and 2) form a distinctive complement to a student’s major and degree program, or 3) leads to the acquisition of a defined set of skills or expertise that will enhance the success of the student upon graduation. Undergraduate Certificates meet a clearly defined educational need of a constituency group, such as continuing education or accreditation for a particular profession; provide a basic competency in an emerging area within a discipline or across disciplines; or respond to a specific state mandate.

After the proposal receives college approval, please submit this form electronically to the Undergraduate Council. Once approved at the academic council level, the academic council will send your proposal to the Senate Council office for additional review via a committee and then to the Senate for approval. Once approved by the Senate, the Senate Council office will send the proposal to the appropriate entities for it to be included in the Bulletin. The contact person listed on the form will be informed when the proposal has been sent to committee and other times, subsequent to academic council review.

Please click [here](#) for more information about undergraduate certificates.

1. GENERAL INFORMATION						
1a	Undergraduate Certificate Home:	Department <input checked="" type="checkbox"/>	OR	College <input type="checkbox"/>	OR	Other <input type="checkbox"/>
	If “Other,” please explain:					
1b	Name of hosting academic unit: <i>Department of Horticulture</i>					
1c	Proposed certificate name: <i>Distillation, Wine and Brewing Studies</i>					
1d	CIP Code ¹ , primary discipline: <i>01.0309</i>					
	CIP Code for other disciplines: <i>01.0000; 01.1001.</i>					
1e	Requested effective date:	<input checked="" type="checkbox"/> Semester after approval.	OR	<input type="checkbox"/> Specific Date ² :		
1f	Contact person name: <i>Dr. Seth DeBolt</i>	Email: <i>Seth.DeBolt@uky.edu</i>			Phone: <i>257-8654</i>	
2. OVERVIEW						
2a	Provide a brief description of the proposed new certificate. (300 word limit)					
	<i>The Undergraduate Certificate in Distillation, Wine and Brewing Studies (DWBS) aims to be inclusive of students from all departments and colleges at UK. The Departments of Animal and Food Sciences; Biosystems and Agricultural Engineering; Chemistry; Chemical and Materials Engineering; History; Horticulture; Plant and Soil Sciences Retailing and Tourism Management; and Writing, Rhetoric and Digital Studies are all engaged in DWBS. Three key overarching student learning outcome comprise the DWBS and are accomplished through a cluster of courses:</i>					

¹ You must contact the Office of Institutional Effectiveness prior to filling out this form (257-2873 | institutionaleffectiveness@uky.edu). The identification of the appropriate CIP code(s) is required for college-level approval and should be done in consultation with the Undergraduate Council Chair and Registrar.

² Certificates are typically made effective for the semester following approval. No program will be made effective unless all approvals, up through and including University Senate approval, are received.

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	<ul style="list-style-type: none"> • <i>Students will comprehend the breadth of the career opportunities in the DWBS industry.</i> • <i>Students will be able to identify key technical methods and analytical skills required in the DWBS industry.</i> • <i>Students will be capable of outlining the history of DWBS, and clearly explain how this relates to human cultures.</i> <p><i>There are two key reasons for offering this program. First, this industry represents the science of one of the oldest products linked to human civilization; thus, education opportunities span a breadth of disciplines. Secondly, this is a global industry that provides a wide and interdisciplinary range of careers. The curriculum was developed due to an urgent need to train people in this area as identified by the local industries. The Bluegrass is home to nearly 95% of one of the world's premier distilled spirits, bourbon. There are over 70 wineries in the area as well, in addition to numerous large and small breweries.</i></p> <p><i>The program is suited to an undergraduate certificate rather than a minor because the undergraduate certificate creates a framework for students from programs across the UK to gain a certificate without changing their major/minor of interest, which is congruent with the interdisciplinary nature of the career opportunities available in this space.</i></p>
2b	This proposed certificate (check all that apply):
	<input checked="" type="checkbox"/> Is cross-disciplinary ³ .
	<input type="checkbox"/> Is certified by a professional or accredited organization/governmental agency.
	<input type="checkbox"/> Clearly leads to advanced specialization in a field.
2c	Affiliation. Is the certificate affiliated with a degree program? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
	If "yes," include a brief statement of how it will complement the program. If it is not affiliated with a degree program, incorporate a statement as to how it will provide an opportunity for a student to gain knowledge or skills not already available at UK. (300 word limit)
	<i>The DWBS is affiliated with the Department of Horticulture in the College of Agriculture, Food and Environment (CAFE). While programmatically affiliated in order to streamline its formation and due to the density of classes taught within the Department of Horticulture Department, the DWBS will complement the undergraduate BS program in Horticulture, Plant and Soil Science by providing additional opportunities for students already interested in these industries (for example, in wine-growing) to delve into the related areas of wine-making. Of course, the Department welcomes the engagement of many other departments in providing instruction and also welcomes students from any program at the University.</i>
2d	Demand. Explain the need for the new certificate (e.g. market demand and cross-disciplinary considerations). (300 word limit)
	<i>Distillation, wine and brewing industries form a multi--billion dollar industry with a myriad of careers in science, engineering and the arts. Regionally, Kentucky is famous for bourbon production and in 2013 the industry surpassed 5 million barrels in over 40 distilleries worth more than \$8 billion/year. Current estimates suggest Kentucky employment may now number 10,000 within the bourbon industry alone. Further, approximately 25 new craft and full scale distillers opening in the coming year with a shortage of trained intellectual infrastructure identified recently as a major hurdle to growth (by the Kentucky Distillers Association Technical Committee Meeting). There are over 70 wineries that also demand trained and knowledgeable employees and a thriving craft beer movement has been established in the past 5--years. Despite Kentucky being a landmark destination for producers, few courses focused on this industry have</i>

³ An undergraduate certificate must be cross-disciplinary and students must take courses in at least two disciplines, with a minimum of three credits to be completed in a second discipline.

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been delivered in the past at UK. The proposed certificate pedagogy will engage an inter--disciplinary team that will align certificate enrollees with skills and knowledge of career options. Intellectual infrastructure will immediately benefit the career opportunities and serve a rapidly growing industry.

2e **Target student population.** Check the box(es) that apply to the target student population.

Currently enrolled undergraduate students.

Post-baccalaureate students.

2f Describe the demographics of the intended audience. (150 word limit)

The DWBS certificate program is designed to be applicable across many of the current UK academic majors. Most obviously, the DWBS would serve students in the colleges of Agriculture, Food and Environment; Arts & Sciences; Business & Economics; Education; and Engineering. However the DWBS is designed to also attract students from other colleges and units based on interest. The letters of support from chairs from departments within each college are presented in Appendix A.

2g **Projected enrollment.** What are the enrollment projections for the first three years?

	Year 1	Year 2 (Year 1 continuing + new entering)	Year 3 (Yrs. 1 and 2 continuing + new entering)
Number of Students	10-20	20-30	30-100

2h **Distance learning (DL).** Initially, will any portion of the undergraduate certificate be offered via DL? Yes No

If "Yes," please indicate below the percentage of the certificate that will be offered via DL.

1% - 24% 25% - 49% 50% - 74% 75 - 99% 100%

If "Yes," describe the DL course(s) in detail, including the number of required DL courses. (200 word limit)

3. ADMINISTRATION AND RESOURCES

3a **Administration.** Describe how the proposed certificate will be administered, including admissions, student advising, retention, etc. (150 word limit)

The DWBS certificate will be administered collaboratively via a core advising group made up from CAFÉ, A&S, and Engineering. Representatives included are Horticulture (Dr. Seth DeBolt, director), Chemistry (Dr. Bert Lynn Co--- director), Rodney Andrews (Chemical and Materials Engineering), Melissa Newman (Animal and Food Sciences), Tricia Day (Retailing and Tourism Management), and Jeff Rice (Writing, Rhetoric and Digital Studies). The se faculty members will be responsible for recruitment, advising, and retention of students. Dr. DeBolt will serve as Program Director.

3b **Resources.** What are the resource implications for the proposed certificate, including any projected budget needs? If multiple units/programs will collaborate in offering this certificate please discuss the resource contribution of each participating program. Letters of support must be included from all academic units that will commit resources to this certificate. Convert each letter to a PDF and append to the end of this form. (300 word limit)

The goal is to adequately assign budgetary resources in line with expected individual class outcomes. The

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	<p><i>DWBS certificate itself will not require any budget. The two core classes (Spirit Chemistry; and Distillation, and Wine and Brewing Science) are currently not listed as requiring a course fee. If travel fees are needed in the future, for such expenses as to cover the use of a bus to transport students to or from a field site, then a class fee will be requested for these individual classes. At present this is not anticipated, but subject to change in order to offer the best educational experience possible for the students.</i></p> <p><i>No resources are needed at the onset of this Certificate for staff. Specifically, the faculty Director of the Certificate Program will include this role in their Distribution of Effort (DOE). Notably, a \$100 course fee is charged of students in the PLS 389 (Wine Appreciation) course directed by Michael Barrett of Plant and Soil Sciences.</i></p> <p><i>If any further appreciation classes were to be developed with elements of beer or bourbon sensory analysis, then it is possible that these classes would require a course fee. Additionally, resources are required from specific colleges, most notably CAFE. The use of the Horticulture Research Farm’s wine research facility will be important. In the event that the DWBS certificate enrolls large numbers of students in the future, additional sections of PLS 336 (Introduction to Viticulture--Grape Production) or PLS 337 (Introduction to Enology: Wine Production; both directed by Jeff Wheeler) may be required. Either hiring a part-time instructor or providing faculty overload could become necessary.</i></p>
3c	<p>Faculty of Record. The Faculty of Record consists of the certificate director and other faculty who will be responsible for planning and participating in the certificate program. Describe the process for identifying the certificate director. Regarding membership, include the aspects below. (150 word limit)</p> <ul style="list-style-type: none"> • Selection criteria; • Whether the member is voting or non-voting; • Term of service; and • Method for adding/removing members.
	<p><i>Faculty members who participate in the DWBS in instructional roles are thus to serve as members of the faculty of record, see Appendix 1 email confirmation: Crofcheck, Lynn, Rice, Barrett, Rice, Wheeler, Jackson, Newman, Andrews, DeBolt. Selection is based on instruction in DWBS and representation UK Colleges/Depts. All members of the faculty of record are eligible to vote. Replacement will be based on annual meeting voting and aim to maintain broad representation. After initial year, Director (DeBolt) and co-Director(s)(Lynn) will be chosen by affirmation of the core advisory group at the annual meeting; and anticipated to be a three-year commitment. Members of the core advisory group will be expected to serve for up to three years, in order to help the DWBS establish continuity. Beyond that time, a review of the function of the DWBS will be done in order to establish best practices in terms of leadership rotation. Faculty of record lists will be updated annually to include only faculty who remain actively involved in the DWBS.</i></p>
3d	<p>Advisory board. Will the certificate have an advisory board⁴? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
	<p>If “Yes,” please describe the standards by which the faculty of record will add or remove members of the advisory board. (150 word limit)</p>
	<p>The faculty of record will identify stakeholders to provide input to the DWBS based on their interest in and knowledge of the educational outcomes of this certificate program. Advisory Board (AB) members will be chosen based on representing distillation, wine and brewing industries within the state of Kentucky. Their selection will be assessed a 3 year term and require annual participation. The AB will provide external input on the DWBS certificate. AB member will be removed on a voluntary process, or by the directors if their</p>

⁴ An advisory board includes both faculty and non-faculty who advise the faculty of record on matters related to the program, e.g. national trends and industry expectations of graduates.

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	actions become in any way counterproductive to the effective functioning of the program as an educational vehicle.
	If “Yes,” please list below the <u>number</u> of each type of individual (as applicable) who will be involved in the advisory board.
	Faculty within the college who are within the home educational unit.
	Faculty within the college who are outside the home educational unit.
	Faculty outside the college who are within the University.
	Faculty outside the college and outside the University who are within the United States.
	Faculty outside the college and outside the University who are outside the United States.
	Students who are currently in the program.
	Students who recently graduated from the program.
8	Members of industry.
	Community volunteers.
	Other. Please explain:
8	Total Number of Advisory Board Members

4. SUPPORT AND IMPACT

4a	Other related programs. Identify other related UK programs and certificates and outline how the new certificate will complement these existing UK offerings. Statements of support from potentially-affected academic unit administrators need to be included with this proposal submission. Convert each statement to a PDF and append to the end of this form. <i>(250 word limit)</i>
	<i>To the best of our knowledge, there are no related programs (other than the undergraduate program in Horticulture, Plant and Soil Science) at the University of Kentucky which would be affected by the emergence of the DWBS certificate program. Bob Houtz, Chair of the Department of Horticulture, has provided a letter of support for the DWBS certificate on behalf of his faculty members.</i>
4b	External course utilization support. You must submit a letter of support from each appropriate academic unit administrator from which individual courses are taken. Convert each letter to a PDF and append to the end of this form.

5. ADMISSIONS CRITERIA AND CURRICULUM STRUCTURE

5a	Admissions criteria. List the admissions criteria for the proposed certificate. <i>(150 word limit)</i>		
	<i>All University of Kentucky students who are in good academic standing are eligible to enroll in the DWBS certificate.</i>		
5b	Curricular structure. Please list the required and elective courses below.		
Prefix & Number	Course Title	Credit Hrs	Course Status ⁵

⁵ Use the drop-down list to indicate if the course is an existing course that will not be changed, if the course is an existing course that will be changed, or if the course is a new course.

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A&S 306	<i>Spirit Chemistry, Required</i>	3	New
PLS 335	<i>Distillation, Wine and Brewing Science, Required</i>	3	New
AEN/TSM 341	<i>Brewing Science and Technology</i>	3	New
FSC 430	<i>Sensory Analysis of Foods</i>	3	Existing
FSC 538	<i>Food Fermentation and Thermal Processing</i>	4	Existing
FSC 540	<i>Food Sanitation</i>	3	Existing
PLS 336, PLS 337	<i>Introduction to Viticulture--Grape Production; Introduction to Enology: Wine Production</i>	3	New
HMT 420	<i>Kentucky Bourbon Hospitality and Tourism</i>	3	New
PLS 389	<i>Wine Appreciation</i>	3	New
PLS 395 or 399	<i>Special Problems in Plant and Soil Science or Experiential Learning in Plant and Soil Science</i>	3	Existing
WRD 225	<i>Craft Writing</i>	2	New

Total Credit Hours: 12

5c	Are there any other requirements for the certificate? If "Yes," note below. (150 word limit)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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All certificate students must complete both A&S 306 and PLS 335 with a "C" grade or higher plus a minimum of six additional credits chosen from the above course listing. The University's breadth requirement for undergraduate certificate students will be satisfied through the two required courses. Note that only students who have completed or who are completing a four-year degree are eligible to receive this certificate. No more than nine credits taken toward this certificate can be used to satisfy the requirements of another degree, minor or certificate, exclusive of free or unrestricted electives.

5d	Is there any other narrative about the certificate that should be included in the Bulletin? If "Yes," please note below. (300 word limit)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
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Most Distillation, Wine and Brewing Studies certificate courses have no prerequisites. Note that some certificate courses (particularly those in the food science area) have extensive prerequisites. Students outside of the food science major should be clear about prerequisites before attempting to enroll in these courses.

6. ASSESSMENT

6a	Student learning outcomes. Please provide the student learning outcomes for this certificate. List the knowledge, competencies, and skills (learning outcomes) students will be able to do upon completion. (Use action verbs, not simply "understand.") (250 word limit)
----	--

- *Students will be able to define key themes within the following fields of distillation, wine and brewing industries from a broad interdisciplinary perspective: 1) scientific/engineering, 2) marketing, 3) distribution and 4) economic.*
- *Students will be able to articulate how each key theme influences the others to create effective products.*
- *Students will identify and describe the key agricultural commodities associated with distillation, wine and brewing industries as well as the process of how to convert them into products via fermentation.*
- *Students will document the chemistry behind key processes as the cornerstone to quality*

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	<p><i>production.</i></p> <ul style="list-style-type: none"> • <i>Students will engage in an application of integrated thinking in a functional context via the 395 series.</i> • <i>Students will perform strategic assessment in local, regional, national, or international distillation, wine brewing industries related to career outlooks.</i> • <i>Students will demonstrate their understanding through written and oral presentations.</i> • <i>Students will complete a final integrated distillation, wine and brewing industry assessment project that will allow them to demonstrate their understanding for fermented product development in the PLS 335 class as an internal assessment from beginning to end (class specific).</i> • <i>Students will be capable of outlining the brief history of distilled products, wine and brewing around the world and in the United States.</i> • <i>Above all, students gaining this certificate will be able to recognize key problems that arise in each of the distillation, wine and brewing industries and have the resources and knowledge to present solutions.</i>
6b	<p>Student learning outcome (SLO) assessment. How and when will student learning outcomes be assessed? Please map proposed measures to the SLOs they are intended to assess. Do not use grades or indirect measures (e.g. focus groups, surveys) as the sole method. Measures might include the aspects below. (300 word limit)</p> <ul style="list-style-type: none"> • Course-embedded assessment (capstone project, portfolios, research paper); and • Test items (embedded test questions, licensure/certification testing, nationally or state-normed exams).
	<p><i>Students will write a statement upon entering the undergraduate certificate with a focus on their skills and knowledge of wine, brewing and distillation industries. A key theme is that students gaining this certificate will be able to recognize key problems that arise in each of the DWBS industries and have the resources and knowledge to present solutions. The tools they need to do so are often times complex and require the capacity to access information relevant to specific problems. Therefore, a learning outcome of the distillation, wine and brewing science pillar is that students will understand and be able to apply core concepts about how these commodities are derived, the process of fermentation, the flavor profiles, distribution, legal challenges and how to develop a range of products. This understanding can be communicated in a written and oral manner in a variety of contexts. Taken to problem solving, during the required classes, emphasis is placed on technical and market problems that frequently arise broadly in the Wine, Brewing and Distillation Science class (PLS 335 with Dr. DeBolt) and in the Spirit Chemistry class (A&S 306 with Dr. Lynn). Students will be assessed throughout courses in these pillars in both a formative and summative manner through written exams and projects demonstrating their competencies. Formatively, courses in each of the pillars will have assignments that gauge nuances of the learning outcome of that pillar. In addition, students will be required to write a reflective assignment during completion of the Certificate which will again focus on their problem solving, analytical skills and knowledge of distillation, wine and brewing industries. During coursework, students will produce essays and presentations that will form a summative, final portfolio.</i></p>
6c	<p>Certificate outcome assessment⁶. Describe program evaluation procedures for the proposed program. Include how the faculty of record will determine whether the program is a success or a failure. List the benchmarks, the assessment tools, and the plan of action if the program does not meet its objectives. (250</p>

⁶ This is a plan of how the certificate will be assessed, which is different from assessing student learning outcomes.

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	word limit)
	<p><i>We will measure success as an undergraduate certificate program through the following metrics:</i></p> <p><i>(1) Record of increased student enrollment;</i></p> <p><i>(2) Record of successful student completion;</i></p> <p><i>(3) Enrollment of students from a variety of majors and colleges;</i></p> <p><i>(4) Considering the interdisciplinary nature of the certificate we will track and consider a 10% employment rate in the area of Distillation, Wine and Brewing industries to be a notable success. With the breadth of career opportunities arising within the beverage industry and the capacity for this certificate to broaden the scope of a given students undergraduate major, a 10% employment rate would probably sustain a strong demand for graduates.</i></p> <p><i>The faculty of record will meet on an annual basis to evaluate progress toward the above-listed goals. If the DWBS certificate is falling short of these target, the faculty will discuss proposals to strengthen the curriculum and to enhance student performance. As always, industry consultation will continue to remain important.</i></p>

7. APPROVALS/REVIEWS

Information below about the review process does not supersede the requirement for individual letters of support.

	Reviewing Group Name	Date Approved	Contact Person Name/Phone/Email
7a	(Within College)		
	DWBS Steering Committee	2/14/14	Seth DeBolt / 7-8654 / seth.debolt@uky.edu
	Department of Horticulture	2/26/14	Bob Houtz / 7-1982 / rhoutz@uky.edu
	Undergraduate Steering Committee, College of Agriculture, Food and Environment	9/12/14	Larry Grabau / 7-3469 / lgrabau@uky.edu
			/ /
7b	(Collaborating and/or Affected Units)		
	Department of Animal and Food Sciences	10/7/14	Bob Harmon / 7-2686 / rharmon@email.uky.edu
	Department of Biosystems and Agricultural Engineering	9/25/14	Sue Nokes / 7-3000, ext., 128 / sue.nokes@uky.edu
	Department of Chemistry	4/20/14	Mark Meier / 7-4741 / meier@uky.edu
	Department of	9/24/14	Doug Kalika / 7-5507 / kalika@enr.uky.edu

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	<i>Chemical and Materials Engineering</i>		
	<i>Department of Plant and Soil Sciences</i>	<i>8/25/14</i>	<i>Todd Pfeiffer / 218-0709 / tpfeiffe@uky.edu</i>
	<i>Department of Retailing and Tourism Management</i>	<i>10/13/14</i>	<i>Vanessa Jackson / 7-4917 / Vanessa.Jackson@uky.edu</i>
	<i>Department of Writing, Rhetoric and Digital Studies</i>	<i>9/22/14</i>	<i>Jeff Rice / 7-7002 / j.rice@uky.edu</i>
			/ /
			/ /
7c	(Senate Academic Council)	Date Approved	Contact Person Name
	Health Care Colleges Council (if applicable)		
	Undergraduate Council		

From: Barrett, Michael mbarrett@uky.edu
Subject: RE: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 15, 2015 at 12:12 PM
To: DeBolt, Seth sdebo2@uky.edu, Crofcheck, Czarena L crofcheck@uky.edu, Rice, Jeffrey j.rice@uky.edu, Jackson, Vanessa P vanessa.jackson@uky.edu, Andrews, Rodney J rodney.andrews@uky.edu

Seth – I agree to be a faculty member of record. Mike

Michael Barrett
University of Kentucky
Plant and Soil Sciences Department
409 Plant Science Building
Lexington, KY 40456-0312
859-218-0712

From: DeBolt, Seth
Sent: Wednesday, April 15, 2015 10:25 AM
To: Crofcheck, Czarena L; Rice, Jeffrey; Barrett, Michael; Jackson, Vanessa P; Andrews, Rodney J
Subject: Re: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies

Colleagues _ If you can provide a quick email of support today that would be great, that way I can collect them and get them back to the Senate quickly. Thank you, Seth

On Apr 15, 2015, at 8:24 AM, Seth DeBolt <sdebo2@uky.edu> wrote:

Dear colleagues,

The Senate council have reviewed the document and have attached the comments below. I understand these as meaning they are interested in two things 1) expanding the faculty of record. They also want evidence for how they were appointed and will be replaced if necessary. If you agree, I suggest that we amend this section to reflect everyone being the faculty of record and that WE were selected based on instructional responsibility and engagement with a different set of students from around our University. Writing, Engineering, Ag, Chem etc. I suggest a metric for replacement be based on annual meeting and maintaining representation from the various colleges, with the opportunity for those colleges/departments not represented to have a member of the core advisory if appropriate based on instructional interest.

2) gaining approval from the advisory group (you) that you agree to such a role. As they say, please provide evidence (email confirmation is fine, included in the proposal) that those listed agree to be listed as faculty of record.

Please email if you agree with being faculty of record and if you agree with my response to point 1.

Many thanks, Seth

From: Jeff Rice j.rice@uky.edu
Subject: Re: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 15, 2015 at 11:31 AM
To: DeBolt, Seth sdebo2@uky.edu, Crofcheck, Czarena L crofcheck@uky.edu, Barrett, Michael mbarrett@uky.edu, Jackson, Vanessa P vanessa.jackson@uky.edu, Andrews, Rodney J rodney.andrews@uky.edu

I agree with being on faculty of record.

Jeff

On 4/15/15 10:24 AM, DeBolt, Seth wrote:

Colleagues _ If you can provide a quick email of support today that would be great, that way I can collect them and get them back to the Senate quickly. Thank you, Seth

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Please email if you agree with being faculty of record and if you agree with my response to point 1.

Many thanks, Seth

Seth DeBolt, Professor, Horticulture, University of Kentucky
Email: sdebo2@uky.edu Phone: 859 257 8654

Begin forwarded message:

From: "Grabau, Larry" <larry.grabau@uky.edu>
Subject: RE: Fwd: New Cmte Item SAPC_New Undergraduate Certificate In Distillation, Wine and Brewing Studies
Date: April 13, 2015 at 5:32:46 PM EDT
To: "DeBolt, Seth" <sdebo2@uky.edu>

I believe, Seth, that you ask your "core advisory group" (see the certificate document) to identify faculty they want to engage (everyone?) and then send out an email invitation to all those invited. Their acceptance would be their positive responses by email. Glad to discuss.

From: DeBolt, Seth
Sent: Monday, April 13, 2015 4:06 PM
To: Grabau, Larry
Subject: FW: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies

Advice on how best to deal with this? Make everyone faculty of record

Sent from my Verizon 4G LTE Smartphone

From: Crofcheck, Czarena L crofcheck@uky.edu
Subject: RE: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 15, 2015 at 11:26 AM
To: DeBolt, Seth sdebo2@uky.edu

Greetings Seth,

I believe your approach is right on target to addressing this issue. I am fully committed to this certificate and would be happy to be a faculty of record for the certificate.

Please let me know if you need anything else from me.

Cheers,
Czar

Czarena Crofcheck, PhD, PE
Associate Professor and
Director of Undergraduate Studies
Biosystems & Agricultural Engineering
University of Kentucky
213 CE Barnhart Building
Lexington, KY 40546
Voice: (859) 218-4349
Fax: (859) 257-5671
Email: crofcheck@uky.edu

ALSO Past President of IBE
<http://www.ibe.org/>

ALSO Co-Chair of the
Kentucky Girls STEM Collaborative
<http://www.kygirlsstem.org/>

From: DeBolt, Seth
Sent: Wednesday, April 15, 2015 8:25 AM
To: Crofcheck, Czarena L; Lynn, Bert C; Rice, Jeffrey; Barrett, Michael; Wheeler, Jeffrey M; Jackson, Vanessa P; Newman, Melissa C; Andrews, Rodney J
Subject: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies

Dear colleagues,

The Senate council have reviewed the document and have attached the comments

From: Lynn, Bert C bclynn2@uky.edu
Subject: DWBS core faculty
Date: April 15, 2015 at 10:53 AM
To: DeBolt, Seth sdebo2@uky.edu

Dear Dr. DeBolt: I agree to be listed as "faculty of record" for the DWBS certificate program. This is an exciting program and I look forward to working with you to make it grow.

Thanks,
Bert

Bert C. Lynn
Professor, Chemistry
Director, UK Mass Spectrometry Facility
University of Kentucky
A053 ASteCC Building
Lexington, KY 40506-0286

Phone: 859-218-6529
FAX: 859-257-2489
<http://www.research.uky.edu/ukmsf>

From: Andrews, Rodney J rodney.andrews@uky.edu
Subject: Certificate in Distillation, Wine and Brewing
Date: April 15, 2015 at 10:43 AM
To: DeBolt, Seth sdebo2@uky.edu

Dear Professor DeBolt,

This email is to confirm my strong support of this program and willingness to be a member of the faculty of record for this program.

Cheers,
Rodney

Rodney Andrews, PhD PE
Assoc Professor of Chemical Engineering
Assoc Professor of Mechanical Engineering

From: Jackson, Vanessa P vanessa.jackson@uky.edu
Subject: RE: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 15, 2015 at 10:34 AM
To: DeBolt, Seth sdebo2@uky.edu

I agree to be on the faculty of record for this project. Vanessa Jackson

From: DeBolt, Seth
Sent: Wednesday, April 15, 2015 10:25 AM
To: Crofcheck, Czarena L; Rice, Jeffrey; Barrett, Michael; Jackson, Vanessa P; Andrews, Rodney J
Subject: Re: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies

Colleagues __ If you can provide a quick email of support today that would be great, that way I can collect them and get them back to the Senate quickly. Thank you, Seth

On Apr 15, 2015, at 8:24 AM, Seth DeBolt <sdebo2@uky.edu> wrote:

Dear colleagues,

The Senate council have reviewed the document and have attached the comments below. I understand these as meaning they are interested in two things 1) expanding the faculty of record. They also want evidence for how they were appointed and will be replaced if necessary. If you agree, I suggest that we amend this section to reflect everyone being the faculty of record and that WE were selected based on instructional responsibility and engagement with a different set of students from around our University. Writing, Engineering, Ag, Chem etc. I suggest a metric for replacement be based on annual meeting and maintaining representation from the various colleges, with the opportunity for those colleges/departments not represented to have a member of the core advisory if appropriate based on instructional interest.

2) gaining approval from the advisory group (you) that you agree to such a role. As they say, please provide evidence (email confirmation is fine, included in the proposal) that those listed agree to be listed as faculty of record.

Please email if you agree with being faculty of record and if you agree with my response to point 1.

Many thanks, Seth

Seth DeBolt, Professor, Horticulture, University of Kentucky
Email: sdebo2@uky.edu Phone: 859 257 8654

Begin forwarded message:

From: Wheeler, Jeffrey M jeff.wheeler@uky.edu
Subject: Re: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 15, 2015 at 9:34 AM
To: DeBolt, Seth sdebo2@uky.edu

I agree with being faculty of record and agree to your response to point 1.

Sent from my iPad

On Apr 15, 2015, at 8:24 AM, DeBolt, Seth <sdebo2@uky.edu> wrote:

Dear colleagues,

The Senate council have reviewed the document and have attached the comments below. I understand these as meaning they are interested in two things 1) expanding the faculty of record. They also want evidence for how they were appointed and will be replaced if necessary. If you agree, I suggest that we amend this section to reflect everyone being the faculty of record and that WE were selected based on instructional responsibility and engagement with a different set of students from around our University. Writing, Engineering, Ag, Chem etc. I suggest a metric for replacement be based on annual meeting and maintaining representation from the various colleges, with the opportunity for those colleges/departments not represented to have a member of the core advisory if appropriate based on instructional interest.

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Please email if you agree with being faculty of record and if you agree with my response to point 1.

Many thanks, Seth

Seth DeBolt, Professor, Horticulture, University of Kentucky
Email: sdebo2@uky.edu Phone: 859 257 8654

Begin forwarded message:

From: "Grabau, Larry" <larry.grabau@uky.edu>
Subject: RE: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 13, 2015 at 5:32:46 PM EDT
To: "DeBolt, Seth" <sdebo2@uky.edu>

I believe, Seth, that you ask your "core advisory group" (see the certificate document) to identify faculty they want to engage (everyone?) and then send out an email invitation to all those invited. Their acceptance would be their positive responses by email. Glad to discuss.

From: DeBolt, Seth
Sent: Monday, April 13, 2015 4:06 PM
To: Grabau, Larry
Subject: FW: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies

Advice on how best to deal with this? Make everyone faculty of record

Sent from my Verizon 4G LTE Smartphone

----- Original Message -----

Subject: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Sent: Apr 13, 2015 3:43 PM
From: "Schroeder, Margaret" <m.mohr@uky.edu>

From: Newman, Melissa C mnewman@uky.edu
Subject: Re: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 15, 2015 at 8:36 AM
To: DeBolt, Seth sdebo2@uky.edu

Sounds great to me congratulations!
Melissa Newman

Sent from my iPhone

On Apr 15, 2015, at 08:24, DeBolt, Seth <sdebo2@uky.edu> wrote:

Dear colleagues,

The Senate council have reviewed the document and have attached the comments below. I understand these as meaning they are interested in two things 1) expanding the faculty of record. They also want evidence for how they were appointed and will be replaced if necessary. If you agree, I suggest that we amend this section to reflect everyone being the faculty of record and that WE were selected based on instructional responsibility and engagement with a different set of students from around our University. Writing, Engineering, Ag, Chem etc. I suggest a metric for replacement be based on annual meeting and maintaining representation from the various colleges, with the opportunity for those colleges/departments not represented to have a member of the core advisory if appropriate based on instructional interest.

2) gaining approval from the advisory group (you) that you agree to such a role. As they say, please provide evidence (email confirmation is fine, included in the proposal) that those listed agree to be listed as faculty of record.

Please email if you agree with being faculty of record and if you agree with my response to point 1.

Many thanks, Seth

Seth DeBolt, Professor, Horticulture, University of Kentucky
Email: sdebo2@uky.edu Phone: 859 257 8654

Begin forwarded message:

From: "Grabau, Larry" <larry.grabau@uky.edu>
Subject: RE: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Date: April 13, 2015 at 5:32:46 PM EDT
To: "DeBolt, Seth" <sdebo2@uky.edu>

I believe, Seth, that you ask your "core advisory group" (see the certificate document) to identify faculty they want to engage (everyone?) and then send out an email invitation to all those invited. Their acceptance would be their positive responses by email. Glad to discuss.

From: DeBolt, Seth
Sent: Monday, April 13, 2015 4:06 PM
To: Grabau, Larry
Subject: FW: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies

Advice on how best to deal with this? Make everyone faculty of record

Sent from my Verizon 4G LTE Smartphone

----- Original Message -----

Subject: Fwd: New Cmte Item SAPC_New Undergraduate Certificate in Distillation, Wine and Brewing Studies
Sent: Apr 13, 2015 3:43 PM

Appendix A.



University
of Kentucky

College of Agriculture, Food and Environment

Robert L. Houtz, Professor

Chair, Department of Horticulture

Plant Physiology/Biochemistry/

Molecular Biology Program

N-318 Agricultural Science Building-North

Lexington, Kentucky 40546-0091

Business: (859) 257-1982 Fax: (859) 257-2859

e-mail: rhoutz@uky.edu

February 26, 2014

Dr. Seth DeBolt, Director
Undergraduate Certificate in Distillation, Wine and Brewing Studies.
Department of Horticulture
309 Plant Science Building
University of Kentucky
Campus

Dear Dr. DeBolt:

This letter is to confirm that on Friday February 21st, 2014, faculty in the Department of Horticulture unanimously approved the new Undergraduate Certificate in Distillation, Wine and Brewing Studies. The department is proud to have three of the proposed courses in this program located in our department and acknowledges that the program does not adversely affect our core program resources.

I am looking forward to the development of this interdisciplinary program, and the benefit that it will bring to those involved in these industries in the commonwealth of Kentucky. Thanks for your leadership Seth.

Sincerely,

Robert L. Houtz
Professor and Chair



October 7, 2014

College of Agriculture,
Food and Environment
Animal and Food Sciences
907 W.P. Garrigus Building
Lexington, KY 40546-0215
859 257-2686
fax 859 257-2534
www.uky.edu

Dr. Seth DeBolt
Distillation, Wine and Brewing Studies Undergraduate Certificate Program
Department of Horticulture
309 Plant Science Building
University of Kentucky
Lexington, KY 40506-0312

Dear Dr. DeBolt:

The purpose of this letter is to confirm that the Food Science faculty in the Department of Animal and Food Sciences support our department's participation in the new Wine Brewing and Distillery Science Certificate program that you and your department are initiating. The Food Science program is pleased to participate by offering the following courses as options for your program: FSC 538 Food Fermentation and Thermal Processing, FSC 540 Food Sanitation, and FSC 430 Sensory Evaluation of Foods. We currently offer these courses that are slated to be part of the certificate program, and additional students will not adversely affect the courses or require additional resources, unless the response to the certificate program is overwhelming.

I am looking forward to watching the growth of this interdisciplinary program, and the opportunity to collaborate more closely with Horticulture and the other disciplines involved in the certificate. Please let me know if there is anything further our department can do to assist you in this endeavor.

Sincerely,

A handwritten signature in cursive script that reads "Robert J. Harmon".

Robert J. Harmon
Professor and Chair



University
of Kentucky

College of Agriculture,
Food and Environment

DEPARTMENT OF BIOSYSTEMS AND
AGRICULTURAL ENGINEERING
128 Charles E. Barnhart Building
Lexington, Kentucky 40546-0276
Office (859) 257-3000 Ext. 128

September 25, 2014

Dr. Seth DeBolt
Distillation, Wine and Brewing Studies Undergraduate Certificate Program
Department of Horticulture
309 Plant Sciences Building
University of Kentucky
Campus

Dear Dr. DeBolt;

The purpose of this letter is to confirm that on Monday, April 7, 2014, faculty in the Department of Biosystems and Agricultural Engineering unanimously approved our department's participation in the new certificate program in Distillation, Wine and Brewing Studies that you and your department are initiating. Our department is pleased to participate with at least one course, with the prospect of teaching others depending on resources available. We are currently offering the course that is slated to be part of the certificate program, and additional students will not adversely affect the course or require additional resources, unless the response to the certificate program is overwhelming.

I am looking forward to watching the growth of this interdisciplinary program, and the opportunity to collaborate more closely with Horticulture and the other disciplines involved in the certificate. Please let me know if there is anything further our department can do to assist you in this endeavor.

Sincerely,

Sue E. Nokes

Sue E. Nokes, Ph.D., P.E.
Professor and Chair



College of Arts and Sciences

Department of Chemistry
Chemistry-Physics Building
Lexington, KY 40506-0055

859 257-4741

fax 859 323-1069

www.chem.uky.edu

April 20, 2014

Prof. Seth DeBolt
Wine, Brewing, and Distillation Sciences Certificate Program
Department of Horticulture
309 Plant Sciences Bldg
University of Kentucky
Lexington, KY 40506

Dear Prof. DeBolt

The Department of Chemistry is happy to support the establishment of the undergraduate certificate in Distillation, Wine, and Brewing Studies. As you know, we have initiated a new course, currently called *Spirit Chemistry*, which we believe will have broad appeal to undergraduates and will help to encourage students to take other courses in the WDBS program. Additional courses may be developed as the program evolves and student interests become clear.

This is a timely and exciting new program. I think it is great to establish a program that provides students an opportunity to learn more about the signature industry of Kentucky and about some of our rapidly growing industries.

Please let me know how we can help to grow this program.

Sincerely,

A handwritten signature in black ink, appearing to read "Mark S. Meier". The signature is fluid and cursive, with a long horizontal stroke at the end.

Mark S. Meier
Professor and Chair

see
blue.



UNIVERSITY OF KENTUCKY

**Department of Chemical and
Materials Engineering**

*177 Anderson Hall
Lexington, KY 40506-0046
(859) 257-5507
kalika@engr.uky.edu*

September 24, 2014

Dr. Seth DeBolt
Undergraduate Certificate in Distillation, Wine and Brewing Studies
Department of Horticulture
309 Plant Sciences Building
University of Kentucky

The Department of Chemical and Materials Engineering is pleased to support the establishment of the interdisciplinary Undergraduate Certificate in Distillation, Wine and Brewing Studies. We anticipate that this certificate will be of significant interest to our undergraduates, and that the coursework and goals associated with the certificate will align well with the requirements of the chemical engineering undergraduate curriculum.

Sincerely,

Doug Kalika

Douglass S. Kalika, Professor and Chair
Department of Chemical and Materials Engineering



College of Agriculture,
Food and Environment
Department of Plant &
Soil Sciences
105 Plant Science Building
Lexington, KY 40546-0312
Phone: (859) 218-0709
www.ca.uky.edu/pss

August 25, 2014

Dr. Seth DeBolt
Distillation, Wine and Brewing Studies Undergraduate Certificate Program
Department of Horticulture
309 Plant Science Building

Dear Seth:

The Department of Plant and Soil Sciences extends its support for the establishment of the interdisciplinary undergraduate certificate in Distillation, Wine and Brewing Studies. There is student interest in these topics, so the development of this certificate is timely. Dr. Mike Barrett, in our department, has been teaching Wine Appreciation (approval as PLS 389 has been requested) in both the fall and spring semesters with capacity enrollment. The approval of the course fee associated with PLS 389 will allow teaching the course without a demand from the department for funding of the course supplies. We look forward to our department's and our students' participation in the certificate program.

Sincerely,

A handwritten signature in cursive script that reads "Todd Pfeiffer".

Todd Pfeiffer
Professor and Chair

see blue.



College of Agriculture,
Food and Environment
Retailing and Tourism Management
318 Erikson Hall
Lexington, KY 40506-0050
859 257-4917
fax 859 257-1275
www.uky.edu

October 13, 2014

Dr. Seth DeBolt, Director
Undergraduate Certificate in Distillation, Wine and Brewing Studies
Department of Horticulture
309 Plant Science Building
University of Kentucky
Campus

Dear Dr. DeBolt:

This letter is to confirm that faculty and Chair of the Retailing and Tourism Management department approve the new Undergraduate Certificate in Distillery, wine and Brewing Studies. The department is happy to have our course as part of this program.

I am looking forward to the development of this interdisciplinary program.

Sincerely,

A handwritten signature in cursive script, appearing to read "V. Jackson".

Vanessa P. Jackson, Professor
Chair, Retailing & Tourism Management
University of Kentucky
317 Erikson Hall
Lexington, KY 40506-0050
(859) 257-7633
Fax (859) 257-1275
e-mail: Vanessa.jackson@uky.edu



Division of Writing, Rhetoric,
and Digital Media
1353 Patterson Office Tower
Lexington, KY 40506-0027
859.257.7002
fax 859.323-1072
wr.d.as.uky.edu

September 22, 2014

Professor Seth DeBolt
Undergraduate Certificate in Distillation, Wine and Brewing Studies
Department of Horticulture
309 Plant Studies Building

Dear Professor DeBolt:

The Department of Writing, Rhetoric and Digital Studies enthusiastically supports the establishment of the Undergraduate Certificate in Distillation, Wine and Brewing Studies. We are excited to be involved with the creation of this certificate and to be able to offer writing courses taught by Professors Jeff Rice and Jan Fernheimer. The inclusion of writing courses specific to the distillation, wine, and beer industries makes this certificate well rounded and applicable to student employment opportunities upon graduation.

I am very supportive of your work to create an interdisciplinary certificate that will prepare students for employment in Kentucky industries vital to the state's economy and growth. Please let WRD know if it can be involved further in this certificate.

Sincerely,

Jeff Rice
Professor and Interim Chair
Writing, Rhetoric and Digital Studies

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Thursday, April 30, 2015 12:08 PM
To: Hippisley, Andrew R; Brothers, Sheila C
Subject: Proposed new 3+3 Program: "UK BLUE"
Attachments: 3+3 _UK BLUE Revised.pdf

Proposed New 3+3 Program: "UK BLUE" - BA History, Political Science, or English and JD Law

This is a recommendation that the University Senate approve the establishment of a new 3+3 Program: BA History, Political Science, or English and JD Law within the College of Arts & Sciences and the College of Law

Please find the revised proposal attached.

Best-
Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of Mathematics Education | [STEM PLUS Program Co-Chair](#)
| [Department of STEM Education](#) | [University of Kentucky](#) | [www.margaretmohrschroeder.com](#)



Memo

From: UK BLUE Committee, College of Arts and Sciences and College of Law

David Brennen, Dean, College of Law

Mary Davis, Stites and Harbison Professor of Law

Jeff Clymer, Chair, department of English

Karen Petrone, Chair, department of History

Ernie Yanarella, Chair, department of Political Science

Anna Bosch, A&S Associate Dean for Undergraduate Programs

To: Senate Academic Programs Committee

Re: Responses to questions posed by the Senate Academic Programs Committee

Date: April 28, 2015

1) What is the need for the program?

The purpose of this program is to attract and retain the best and brightest students who are already interested in a legal education, highly motivated, and who are often going to other Universities and law schools for their education. The combination of a reduced number of years to a law degree with the resulting reduction in tuition will keep some of these stellar students at UK, as an undergraduate and at the College of Law. The program will benefit students by allowing them to complete their education in an accelerated manner. It will benefit the departments by allowing the recruitment of especially strong and motivated undergraduates; and it will benefit the university by providing an exciting and innovative program to prospective applicants who – without this program - may well have chosen another university other than UK. It will benefit the UK College of Law by allowing Law School faculty to participate in the mentoring of select, highly motivated undergraduates during the students' undergraduate careers, thus increasing the preparedness of top candidates to the College of Law. This program will enable high-achieving and strongly motivated students to earn the BA and JD in six years, thus reducing by one year the customary time to complete both degrees. It provides both an expedited career path and significant financial savings to motivated students.

2) What is the anticipated number of students each year in the program? What extra resources are needed to implement? (We see that A&S has already hired a special advisor but that doesn't have bearing on this committee and its decisions).

We expect no more than 10-12 students will be accepted into this program annually, using the existing BS/MD program as our model. The BS/MD program emphasizes the selectivity of the program and advertises an entering class of no more than 5-10 students per year (<https://meded.med.uky.edu/admission-process>). We also take into consideration the declared majors of entering students: over the past 10 years, we see approximately 30 entering English majors annually; 30 freshmen entering as History majors, and 90-100 entering Political Science majors. Applicants to the BLUE program presumably would come from these cohorts.

No extra resources from the College of Arts and Sciences are needed for this program. The advisor recently hired by A&S would be serving A&S students in any case, and will continue to do so through this program. Students will complete the UK Core, College, and Major requirements for their majors as usual, but in an accelerated timeline. If

anything, the program could be seen to result in a conservation of resources as students will complete 30 credit hours of the undergraduate degree through UK Law courses, rather than in A&S courses. Some A&S resources will be reassigned to co-curricular programming for these students but that amount is minimal within the college budget as a whole.

No additional resources are required by the College of Law, since students admitted into UK Law will follow the usual and prescribed curriculum.

3) *There is already a path for pre-law at UK; how is this different and why is this needed?*

There is not really a pre-Law curriculum at UK; as the Undergraduate Studies pre-Law website indicates, “there is no specified undergraduate degree program required for entry into Law school.” The BLUE program encompasses the three undergraduate majors that currently send the largest number of well-qualified students to UK Law, according to our UK Law colleagues. The program is beneficial to students as it allows students to accelerate the completion of their BA/JD by one full year, by permitting 30 credit hours to serve as credit toward both the undergraduate professional degrees. In this it can be compared to the BS/MD program offered through Biology and the College of Medicine, or any of the University Scholars Programs already available on campus.

Like the Honors Program and these other selective programs, the BLUE program holds the potential of significantly influencing the decisions of top prospective students to attend UK rather than a competitor university.

4) *What is the rationale for just choosing history, political science, and English?*

We see this as a pilot program which may eventually be expanded. These three departments were selected to pilot the 3+3 program for two reasons. First, these are the three degree programs that currently send the most well-qualified students to the University of Kentucky’s law school. In order to make that determination, they reviewed five years’ worth of admission data, and it was determined that history, political science, and English were the top majors for UK undergraduate students applying to and admitted to the UK College of Law. Second, upon close examination, the undergraduate requirements for these three majors had enough flexibility that all requirements for the BA could be completed within 3 years, with the exception of the total required 120 credit hours. The committee found we were able to create a BLUE track within each major without compromising major or university requirements in any way. If the program proves successful after 5 years the College will consider whether to support additional tracks in the BLUE program.

5) *Is there a shortage of lawyers for which this program responds to?*

The legal market is not driving this proposal in anyway. Rather, the College of Law is interested in attracting the best and brightest students from UK. Every year we lose some excellent UK undergraduates and we seek to keep those students in our own fine program of legal education.

6) *Are there other institutions, especially peer institutions that have similar programs?*

Yes. Approximately 60 schools have some kind of a dual BA/JD program all across the ranking spectrum: Columbia, Penn, Chicago, and Fordham are examples of private universities of high repute with such programs. UK "Benchmark" Schools with such programs include Kansas University, Missouri-Columbia, Pittsburgh, South Carolina, and Nebraska. These programs are increasingly popular as the law school applicant pool has shrunk over the past five years and public universities in particular seek to retain an advantage among the most highly credentialed applicants.

- 7) What is the retention of law students in the college from year 1 to year 3? (The rationale for this question stems from the concern that students who finish Year 1 of Law school and may decide it's not for them will have to revert back to a "regular track" BA program).

The College of Law retention rate is typically 100%. We on occasion lose one or two students in the first year for the reason mentioned. We rarely lose students after the first year for "I don't like law school" reasons. We also rarely lose law students for academic reasons.

There is no reason a student who finishes the first year of law school in the BLUE program would have to revert back to a "regular track" BA program. The first year of law school is the final year of the four-year BA degree and, assuming the student finishes with a grade point average that permits graduation under the University's academic regulations, that student will graduate with a Bachelor's degree after the first year of law school.

- 8) Is there a better way to facilitate the students who decide not to finish law school (after Year 1 for example)? If they finish year 1 but do not start year 2 or decide not to continue, will they still automatically get the BA in their major or will they have to go back and complete the extra 30 hours? It is clear from the current proposal that students who do not get into Law school or opt out BEFORE starting year 4 will revert back to the "regular track" and finish out their 4th year with the last 30 hours of their program. It is not clear what happens if they quit after year 1 of law school/year 4, although the proposal states that at the end of year 4, the bachelor's degree will be awarded.

We believe we have accommodated every eventuality, in the student's favor. We don't foresee any negative consequences for a student who starts out in the BLUE track of their chosen major. A student in the BLUE program always has the option of changing to the 'traditional track' within their major, and opting out of pursuing Law school. The student will simply complete the fourth year of the BA degree by taking elective credits as required by the College and the Major.

In addition, a student who is accepted to UK Law and successfully completes the first year of law school will graduate with a BA degree in their chosen major (History, English, and Political Science). At the end of the 4th year (first year of UK Law) the student will have completed all requirements for the BA degree and may elect to step out of Law school at that time with no penalty. The successful completion of 30 credit hours of UK Law classes will complete the 120 credits required for the BA degree.

The student who fails one or more UK Law classes in the first year will need to successfully complete 120 credit hours to earn his or her BA degree; any additional (make-up) credit hours could come from any undergraduate class at UK if the student elects not to continue in Law School.

- 9) The only support letters provided are from the 2 deans and the UK PR office. Please provide support letters from the three departments.

Please see attached.

- 10) Please provide meeting minutes where these programs were voted on and passed at the (a) departmental levels (indicating the faculty are aware that they are program faculty in this new program option); and (b) at the college levels (this is provided by the College of Law however it indicates there will be another approval and the evidence of that is not provided).

The College of Law faculty met on December 16, 2014 and voted unanimously to approve the UK-BLUE program by amending our Admissions policy to permit consideration of BLUE students for law school admission. The faculty meeting minutes reflecting this vote are attached.

The A&S Educational Policy Committee reviewed and approved this program December 2, 2014. Please see attached.

Memo #2

From: UK BLUE Committee, College of Arts and Sciences and College of Law
David Brennen, Dean, College of Law
Mary Davis, Stites and Harbison Professor of Law
Jeff Clymer, Chair, department of English
Karen Petrone, Chair, department of History
Ernie Yanarella, Chair, department of Political Science
Anna Bosch, A&S Associate Dean for Undergraduate Programs
To: Senate Academic Programs Committee
Re: Responses to questions posed by the Senate Academic Programs Committee
Date: April 29, 2015

1. How many BLUE students are likely to be rejected each year by the UK Law School? What percent of BLUE students does the UK Law School expect to admit to the law school? Does anyone know what these same statistics are for the similar 3+3 med school program?

With the academic success these students have shown throughout high school, we have no reason to doubt their success in their undergraduate studies. With the advising and mentoring pieces, it is believed that these students will perform well academically and be competitive for admission to law school. We anticipate that very few BLUE students will be rejected because the students we are trying to attract already have strong indicators of academic success. However, all law school applicants must have strong credentials and these BLUE students will be subject to the College of Law admissions process along with all other College of Law applicants. We expect these students to exceed our LSAT/GPA medians and they will therefore likely be admitted. It is impossible to predict how many will be admitted, but we anticipate between 80-100%. We do not have access to admissions data from other law schools or the UK medical school, but informal communication with Dr. Phil Bonner (BSMD) suggests that “very few – can’t be more than about 2” were not admitted to Med school over the past 6 or 7 years of admission cycles.

2. Are BLUE students that are not admitted to UK Law School in their junior years kicked out of the BLUE program?

While it is no one’s intention that these students will not be successful in gaining admission to law school, these students could theoretically be denied admission and would then complete the remaining credits required for the standard BA degree. At the point they are applying to law school, they would still be in the BLUE program and if unsuccessful, they would return to the traditional BA program for their senior year (not during their junior year). These students would still be on track to graduate in 4 years. In their senior year, on track to complete the traditional BA degree, they could apply to law school elsewhere if they remain committed to a legal career.

3. How will undergraduate versus JD GPA calculations be made for BLUE students?

UK College of Law grades are calculated on the same basis as other UK grades. The first year grades will be calculated as 4th year grades for the undergraduate degree and with the remaining law school grades for the law degree.

4. Could a BLUE student complete year 1 at UK Law School (aka "year 4") and then transfer to another law school?

Theoretically, it would be possible for a student to transfer after completing the first year of law school. This would be entirely up to the other law school. However, a BLUE student will have a UK undergraduate degree after the first year of law school, assuming adequate academic performance, so it is likely transfer would be possible if desired. Law school transfer admissions policies vary widely, so it's impossible to know how students wishing to transfer out of UK Law would fare in the transfer process. UK Law has a low percentage of students that transfer during their second year. We have no reason to believe the BLUE students would not continue to follow that trend. Secondly, the ability to apply for scholarships as a transfer student are not always prevalent, so the cost factor becomes especially important when considering transfer options.

5. Would a BLUE student be eligible to participate in the joint JD and MBA, MPA, or MA (Patterson School) programs?

While we believe it would be possible for BLUE students to pursue the existing dual degree programs offered by the College of Law, the respective Colleges would ultimately decide the admission for their students. However, we would consider the BLUE students eligible to apply for the existing dual degree programs when they submit their application to the UK College of Law.

6. Suppose someone complete 30 college credits in HS and enters UK as a sophomore. Would this student, if a BLUE student, be allowed to apply to UK Law School in his/her second year at UK?

UK annually admits a number of highly accomplished students who may have 30 or more credits towards a bachelors' degree; students arriving from the Gatton Academy (WKU residential High School program) may have as many as 60 credits upon enrollment at UK. If admitted into BLUE, these students would be advised on a case by case basis. They already take various paths toward graduation: some of them may choose to graduate in 2-3 years of undergraduate work at UK; some of them pursue double majors or additional certificate programs; and some elect to pursue a University Scholars Program for an advanced degree. Even students who enter UK having satisfied all their UK core requirements would need a minimum of 2 years as A&S undergraduates in order to fulfill the specific requirements of the major degree (HIS, PS, or ENG), plus the A&S foreign language requirement, for example. Professional and faculty advisors will work with these students to ensure they understand the options available to them.

To: Dr. Margaret Schroeder, Chair, Academic Programs Committee

Dr. Andrew Hippisley, Chair, Senate Council

From: Karen Badger, Chair, Undergraduate Council

Re: Bachelor to Law Undergraduate Education (UK Blue 3 + 3 Law) Program Proposal

Date: April 1, 2015

The Bachelor to Law Undergraduate Education (UK Blue 3 + 3 Law) was approved by UGC on March 31st, 2015, with the plan to pass on that the UGC review process included addressing concerns related to the advising component in the pilot program.

The pilot program includes the provision of advising for students enrolled in the program, which was initially described as provided by an "A&S Pre-law Advisor." Pre-law advising is an assigned responsibility in a campus unit (Undergraduate Studies), which raised the question regarding potential duplication and confusion among students and other Colleges/units. Dr. Phil Kraemer, chair of the University Senate Advising Committee, was asked for his review and he advised that if the advising targeted students in a specific program it was not seen as presenting a conflict.

Since the advisor description was more general, the College was asked to change the language used in order to clarify the scope of these advising activities. After discussions occurred in UGC and between the Associate Provost of Undergraduate Education and the College's Dean and Associate Dean, the issue was resolved for this proposal by a change of wording from "A&S Pre-Law Advisor" to "A&S Advisor assigned to this program." This change was sufficient enough to resolve this issue in UGC for the purposes of the pilot program. It may or may not be a concern in subsequent reviews that involve resources and specialized advising needs should the program become permanent or involve participation of majors across colleges.



College of Arts and Sciences

Office of the Dean
202 Patterson Office Tower
Lexington, KY 40506-0027

859 257-8354
fax 859 323-1073

www.as.uky.edu

December 8, 2014

To whom it may concern:

I am writing in strongest support of the collaboration project between the College of Arts and Sciences and the College of Law, UK BLUE. This accelerated degree option, UK BLUE (Bachelor-to-Law Undergraduate Education), informally known as a "3+3" program, will enable high-achieving and strongly motivated students to earn the BA and JD in six years, thus reducing the customary time to complete both degrees by one year.

Students in the program will benefit from experiencing a particularly rigorous, challenging and rewarding academic career. Participating students will have a natural cohort of academically motivated peers during their undergraduate years. Over the course of their initial three years, students will also be offered enrichment activities in the College of Law that acquaint them with the legal, clinical, community service, and career opportunities that a law degree makes possible.

Many benefits will also accrue to the University of Kentucky. Similar programs at other institutions have proven to be successful tools for recruiting top-tier students. While admission to the program will be selective and limited, the program will also have a ripple effect throughout the pre-law student community: UK BLUE can become a hub for a more coherent and wider array of courses, activities, and intellectual programming for other students who are considering attending law school after graduation. We thus expect the program to enhance undergraduate engagement and retention.

The College of Arts and Sciences is fully equipped with faculty, advisors and staff for this program. We look forward to a successful collaboration with the College of Law.

Sincerely,

A handwritten signature in black ink, appearing to read "Mark Lawrence Kornbluh".

Mark Lawrence Kornbluh
Dean

University of Kentucky Legal Education Accelerated Program – UK BLUE

Proposal submitted by the departments of English, History, and Political Science;
and the College of Arts and Sciences,
In collaboration with the College of Law,
University of Kentucky

November 20, 2014

INTRODUCTION AND JUSTIFICATION

The College of Arts & Sciences and the College of Law propose to offer an accelerated Bachelor of Arts/Juris Doctor degree option. The two colleges have collaborated on this joint effort, and faculties of both colleges are supportive. This accelerated degree option, UK BLUE (Bachelor-to-Law Undergraduate Education), informally known as a “3+3” program, will enable high-achieving and strongly motivated students to earn the BA and JD in six years, thus reducing by one year the customary time to complete both degrees. Because this degree option will enable students to complete all academic requirements for the BA and JD within an accelerated time-frame, admission to the program will be limited to incoming freshmen. Students will have to apply to the UK College of Law in their junior year, for admission into UK Law in their fourth year at UK. The student will earn the Bachelor’s degree upon completion of 120 credit hours, and completion of all requirements for the BA in the specific major.

Students will earn their BA degrees within already established majors. Initially, the program will offer admitted students the opportunity to major in English, History, or Political Science, the three degree programs that currently send the most well-qualified students to the University of Kentucky’s law school. Because the program will be rigorous and focused, a minimum ACT or SAT score and a minimum high school GPA will be necessary for admission. There will be a selective admissions process for students applying to UK BLUE; students must select English, History, or Political Science as their major, at least initially.

While the Bachelor to Law program is restricted to majors in English, History, and Political Science in this preliminary phase, we plan to assess our program within five years and make further recommendations for expanding the BLUE degree options at that time.

This program will appeal strongly to talented, mature students who know early in their academic career that they ultimately wish to pursue a law degree. These students are often ambitious and possess a level of commitment to academic study that distinguishes them from their peers. The Colleges of Arts & Sciences and Law very much want to draw these students to the University of Kentucky, and, even more, provide them with academic programming that matches their level of skill and dedication.

Students in the program will benefit from experiencing a particularly rigorous, challenging and rewarding academic career. Participating students will have a natural cohort of academically motivated peers during their undergraduate years. Over the course of their initial three years, students will also be offered enrichment activities in the College of Law that acquaint them with the legal, clinical, community service, and career opportunities that a law degree makes possible.

Many benefits will also accrue to the University of Kentucky. Similar programs at other institutions have proven to be successful tools for recruiting top-tier students. While admission to the program will be selective and limited, the program will also have a ripple effect throughout the pre-law student community: UK BLUE can become a hub for a more coherent and wider array of courses, activities, and intellectual programming for other students who are considering attending law school after graduation. We thus expect the program to enhance undergraduate engagement and retention.

ORGANIZATIONAL STRUCTURE

STEERING COMMITTEE

The BLUE steering committee will consist of the Director of Undergraduate Studies of each affiliated department (English, History, and Political Science), plus an A&S advisor assigned to this program, plus a designated faculty member from the UK College of Law admissions committee. The steering committee will be charged with overseeing the admission of freshmen, assessing the program annually, and proposing any needed changes or modifications to the curriculum or management of the program over time.

FACULTY OF RECORD

The BLUE Faculty of Record will consist of all faculty in English, History, and Political Science, as well as faculty teaching the first-year Law School curriculum (1L). No regular meetings will be scheduled as a group, but information will be shared among the Faculty of Record as needed by email and through members of the steering committee.

ASSESSMENT OF PROGRAM

Each department (English, History, Political Science) will assess students' attainment of student learning outcomes as a part of the programmatic assessment plan for the particular major. The BLUE curriculum, though condensed, retains all the specific course requirements of the major curriculum in each department.

At the end of each student's 4th year (first year at UK law), A&S will request a summary report on the progress of BLUE students completing their first year in Law. Since BLUE students enrolled in UK LAW will need to complete first-year Law classes satisfactorily to receive the final credit hours towards the Bachelor's degree, this follow-up on successful course completion will be necessary and automatic. BLUE students will retain contact with the A&S advisor assigned to this program until their receipt of the Bachelor's degree in May of Year Four.

In addition, A&S administrative staff will keep records of the following student data:

- a. Numbers and demographics of High School seniors applying, accepted, and enrolled in BLUE;
- b. Progress to degree (BA) of enrolled candidates;
- c. Numbers and demographics of BLUE student applications, acceptances, and enrollments in UK Law;
- d. Progress to degree (JD) of admitted UK Law candidates;

- e. Additional information on career trajectories of students who do not apply/ are not accepted/ do not enroll in UK Law;
- f. Follow-up student satisfaction surveys at regular intervals;
- g. Robust information about BLUE alumni, etc.

PROCEDURE FOR APPLICATION AND ADMISSION TO PROGRAM

ADMISSIONS PROCESS:

Admission to UK BLUE is selective and competitive; students are expected to maintain a rigorous schedule in order to complete 90 hours and all required courses for the undergraduate major in three years (6 semesters). This is a dual-credit degree program in that the first year of Law school courses (30 credit hours) will count towards the total 120 credit hours required for the Bachelor's degree.

Admission to UK BLUE does not guarantee admission to the UK Law School; students will have to apply separately to UK Law in the fall of their third year at UK. These students will be considered by the Law Admissions Committee in the regular course of the Admissions process with all other applicants in that year. However, meeting the minimum program expectations, performing well on the LSAT, and demonstrating a commitment to academic success will result in a very competitive application for admission to UK Law School. Students will receive personalized advising from an A&S advisor assigned to this program throughout their academic career in UK BLUE.

Each student will need to apply separately to UK Law by January 31 of their junior (third) year at UK. The student's application will be reviewed in the pool of all applications received by UK Law. However, a student with a strong academic record and competitive LSAT score will be a strong candidate for admission to UK Law.

CRITERIA FOR ADMISSIONS CONSIDERATION

- High school grade-point average: a minimum of 3.5 unweighted GPA
- ACT score: 29 and above
- SAT score: 1290 and above M+CR
- UK BLUE admission application

Additional admission factors to be considered:

- Extracurricular involvement
- AP or IB credit
- Good interpersonal skills

APPLICATION REQUIREMENTS

1. UK Admission and Scholarships: Submit your UK Undergraduate Admission and competitive Academic Scholarship application online at www.applyuk.com, or through the Common application at commonapp. *You must declare English, History, or Political Science as your major.*

2. UK BLUE Admission Application: Submit your UK BLUE Admission Application online at _____ TBD _____. Along with the application, the personal essay and letter of recommendation also are submitted in this manner.
3. Applications to UK BLUE will be reviewed by a committee consisting of faculty members from English, History, and Political Science, and a member of the UK Law School Admissions committee.

INFORMATION FOR PROSPECTIVE STUDENTS

APPLICATION CYCLE

The Application cycle is August 1, 2015 through December 1, 2015, for enrollment as a UK BLUE freshman majoring in English, History, or Political Science the following August.

TUITION AND FEES

Students are responsible for payment of all tuition and fees for the BLUE accelerated course of study. Specifically, students will pay the undergraduate tuition rate (Resident or Non-Resident) for the first three years of study, and (pending acceptance to UK College of Law) thereafter they will be assessed at the College of Law rate.

Both need-based and merit-based financial assistance programs are available to all undergraduate students. Students are encouraged to learn more about [financial aid and scholarship programs](#) at the University of Kentucky. There are no scholarships specifically designated for UK BLUE applicants.

ONCE ENROLLED AT UK

Once accepted into the UK BLUE accelerated program, students are expected to follow the recommended curriculum, participate in recommended extra-curricular activities, and maintain a cumulative GPA of 3.5 (B+). With satisfactory progress in the program by the end of the fourth semester, students should plan to take the LSAT during June/July between Sophomore and Junior year. Students will apply to UK Law between September 1 and January 31 of their 3rd (Junior) year, for enrollment in UK College of Law (if accepted) in August of their 4th (Senior) year.

Students who receive AP or IB credit prior to enrolling at UK will be able to devote more time to elective course work as undergraduates, despite the rigorous and compact BLUE curriculum. Similarly, it is highly recommended that students enroll in two or more years of foreign or world language while in high school, with the intention of placing into the required language classes at the 200-level or above when planning their UK schedule as a first year undergraduate.

If a student follows the required curriculum, and applies and is admitted to the UK College of Law, the successful student will graduate with a Bachelor of Arts degree in May of his or her 4th year, and with a UK Law degree in May of his or her 6th year.

SCHOLARSHIP AND FINANCIAL AID INFORMATION

Competitive and automatic renewable scholarships awarded by the Office of Academic Scholarships to incoming UK Freshmen will continue over the first eight semesters of a student's enrollment at UK. Scholarship awards that are designated to cover undergraduate tuition and fees may be applied to UK Law School tuition, at the student's undergraduate tuition and fee rate, during the 4th year, once a student has been accepted, and enrolled, into UK Law.

EXAMPLE OF 3+3 CURRICULUM AND TIMELINE

Please note, this is an example only; details vary depending on the chosen undergraduate major.

Year One: Undergraduate courses, including UK Core (30 credit hours).

Year Two: Undergraduate courses, including UK Core, pre-major, and major courses (30 credit hours). Student takes LSAT exams during the summer after Year Two.

Year Three: Undergraduate courses, including courses to satisfy Major requirements (30 credit hours). Student applies to UK Law in fall of Year Three. Student receives notification of acceptance to UK Law in March of Year Three.

Year Four: (pending admission to UK Law): Law School curriculum (30 credit hours)
May: graduation; Bachelor's degree awarded upon successful completion of UK BLUE curriculum.

Year Five: UK Law courses

Year Six: UK Law courses
May of Year Six: graduation; JD degree awarded upon successful completion of Law School Curriculum.

FREQUENTLY ASKED QUESTIONS

WHAT IF...?

What if the student decides by year 3 that she or he is no longer interested in applying to law school? If you elect not to apply to law school, there is no penalty, since you are already on track to graduate with a Bachelor's degree in a particular field. If you elect not to attend law school, you will simply complete year 4 with 30 credit hours of coursework to satisfy the usual requirements of your major. Academic advisors and a faculty mentor will work with you to ensure that you complete your degree in four years, and to provide career and graduate or professional school advice in a timely manner.

What if the student wants to change majors? You may not remain in UK BLUE if you wish to change your major, given the rigorous and specific curriculum you must follow to complete the bachelor's degree requirements of your chosen major within three years. If you prefer to change your major, you may still be able to graduate within four years, depending on the requirements of the new major, and of course even in this case you may be able to apply to Law School during your senior year, as most Law School applicants do. The main difference will be that you will not be able to take the first year of UK Law

courses to count toward the credit hour requirements of your bachelor's degree, if you elect to change your major.

What if the student enrolls in Law school but is unhappy or unsuccessful in that curriculum? We have every expectation that students admitted into the UK College of Law will be able to succeed in the Law school curriculum. However, if you perform poorly, or if for any reason you wish to withdraw from UK Law School, you will be able to reenroll as an undergraduate to complete the UK B.A. degree in your chosen major (English, History, Political Science). You will simply need to complete the 120 required credit hours to earn your bachelor's degree. Your academic advisor and faculty mentor will help you find the information you need to make an informed decision about your coursework and your future plans.

What if the student wants to attend Law school, but not at UK? If you wish to attend Law school elsewhere, you will first need to complete your bachelor's degree requirements at UK, including all requirements for the major, and the 120 credit hours required for receipt of the BA. Depending on your AP credits and other types of credit for prior learning, it is likely that you will need to complete four years of coursework as an undergraduate at UK. Credits earned at another Law School cannot be considered toward your UK Bachelor's degree. Your academic advisor and faculty mentor will help you find the information you need to make an informed decision about your coursework and your future plans. Your advisor and faculty mentors will assist you no matter what employment, professional or graduate program you choose to pursue.

Additional Material in support of degree program:

Email from Professor David Brennen, Dean of the UK College of Law, in support of the program:

From: Brennen, David A
Sent: Sunday, November 16, 2014 9:24 PM
To: Bosch, Anna
Cc: Kornbluh, Mark; Davis, Mary J
Subject: 6 year BA-to-JD Program Proposal

Dear Dr. Bosch:

The College of Law Faculty is in support of a proposed 6 year BA-to-JD program being developed by the College of Arts and Sciences. The College of Law faculty met on September 24, 2014, and gave unanimous support for the general contours of a 6 year BA-to-JD program consistent with the discussions you have had with Director of Admissions Toni Robinson and Prof. Mary Davis, chair of the Law Admissions Committee. The College of Law Faculty and I are enthusiastic about such a program.

Our next step in this process involve deliberation of the Admissions Committee of the specific proposal which is now being prepared under your direction, a copy of which we have seen and reviewed. The Admissions Committee will report to the law faculty and the law faculty will be asked to formally approve the proposal and amend our College of Law admissions policy to reflect it. That meeting should take place before the end of calendar year 2014.

Thank you again for your leadership of this effort. Please let Director Robinson or Prof. Davis know if you have any additional questions or needs in this process.

Sincerely,

David A. Brennen,

Dean and Professor of Law

David A. Brennen
Dean and Professor of Law
University of Kentucky College of Law

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First email (9/26/2014) from Mia Alexander-Snow, Director of Planning and Institutional Effectiveness, regarding the proposal of a new tracks within an existing degree program:

From: Alexander-Snow, Mia
Sent: Friday, September 26, 2014 12:42 PM
To: Bosch, Anna
Subject: RE: option within a major

Anna,
No, the option does not need to have CPE approval; it just needs approval by University senate councils (as applicable). Just a note: options at the undergraduate level are now called 'tracks', at master's level 'concentration' and doctoral level 'specialty.'

Thanks,
Mia

*Mia Alexander-Snow, PhD
Director, Planning and Institutional Effectiveness
Office of Institutional Effectiveness
University of Kentucky
Phone: 859-257-2873
Fax: 859-323-8688
Email: mia.alexander-snow@uky.edu*

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Second email (11/18/2014) from Mia Alexander-Snow, Director of Planning and Institutional Effectiveness, regarding CIP codes and tracks within an existing degree program:

From: Alexander-Snow, Mia
Sent: Tuesday, November 18, 2014 8:45 PM
To: Bosch, Anna
Subject: RE: CIP codes for ENG, HIS, PoliSci

Dear Anna,

[...]

You are correct, there is no need to have separate CIP codes for the tracks. You only need the CIP codes for the 3 disciplines:

- English (16.0102)
- History (54.0101)
- Political Science (45.1001)

Also, because these are “tracks” and the proposed program modifications do not reflect a ‘significant departure’ from current practices, utilize existing resources, faculty and library resources, and is repackaging of already existing courses, I do not anticipate the program modifications as constituting substantive change.

Please let me know if you need additional information.

Thanks,
Mia

Mia Alexander-Snow, PhD
Phone: 859-257-2873
Fax: 859-323-8688

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Email from Jay Blanton, Director of UK Public Relations, in support of BLUE – “Bachelor to Law Undergraduate Education”

From: Blanton, Jay
Sent: Thursday, November 20, 2014 10:56 AM
To: Bosch, Anna
Cc: Davis, Mary J; Witt, Don
Subject: Re: new degree program - your advice requested

Hi Dr. Bosch, thanks for reaching out. Tina (our marketing counterpart in law) and I had a brief exchange about this issue. I mentioned to her that I thought the name BLUE was and is great for a new program. We are very comfortable with that and very appreciative you asked for our input. The only thing I added is that we would want to stay away from the development of a secondary logo for the program that would compete with UK or the college logos. I realize there are other things in between (graphic treatments for the name of the program) that would need to be fleshed out and we are happy to work with you all on that process.

But I really like the name. Let us know how we can help in promoting. I know we will be working with Don to incorporate into materials.

Let me know if all that helps or adds confusion :)

Thanks so much and hope you are well.

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CHANGE UNDERGRADUATE PROGRAM FORM

1. General Information

College: <u>Arts & Sciences</u>		Department: <u>Political Science</u>	
Current Major Name: <u>Political Science</u>		Proposed Major Name: <u>no change</u>	
Current Degree Title: <u>B.A.</u>		Proposed Degree Title: <u>no change</u>	
Formal Option(s): _____	Proposed Formal Option(s): <u>Political Science BLUE ("Bachelor to Law Undergraduate Education" - 6 year program toward both a BA in Political Science and a JD from UK Law School)</u>		
Specialty Field w/in Formal Option: _____	Proposed Specialty Field w/in Formal Options: _____		
Date of Contact with Associate Provost for Academic Administration ¹ :		<u>9/26/2014 (email exchange between Mia Alexander Snow and Anna Bosch)</u>	
Bulletin (yr & pgs): <u>'14-'15 pp 178-179</u>	CIP Code ¹ : <u>45.1001</u>	Today's Date: <u>28 Oct. 2014</u>	
Accrediting Agency (if applicable): _____			
Requested Effective Date: <input checked="" type="checkbox"/> Semester following approval.		OR	<input type="checkbox"/> Specific Date ² : _____
Dept. Contact Person: <u>Stephen Voss</u>	Phone: <u>333-0423</u>	Email: <u>dsvoss@uky.edu</u>	

2. General Education Curriculum for this Program:

The new General Education curriculum is comprised of the equivalent of 30 credit hours of course work. There are, however, some courses that exceed 3 credits & this would result in more than 30 credits in some majors.

- There is no foreign language requirement for the new Gen Ed curriculum.
- There is no General Education Electives requirement.

Please list the courses/credit hours currently used to fulfill the University Studies/General Education curriculum:
No change. So see the "suggested" list below.

<i>Please identify below the suggested courses/credit hours to fulfill the General Education curriculum.</i>			
General Education Area		Course	Credit Hrs
I. Intellectual Inquiry (one course in each area)			
Arts and Creativity		<u>any</u>	<u>3</u>
Humanities		<u>any</u>	<u>3</u>
Social Sciences		<u>PS 235</u>	<u>3</u>
Natural/Physical/Mathematical		<u>any</u>	<u>3</u>
II. Composition and Communication			
Composition and Communication I		CIS or WRD 110	3

¹ Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the (APAA) can provide you with that during the contact.

² Program changes are typically made effective for the semester following approval. No program will be made effective until all approvals are received.

CHANGE UNDERGRADUATE PROGRAM FORM

Composition and Communication II	CIS or WRD 111	3
III. Quantitative Reasoning (one course in each area)		
Quantitative Foundations ³	<u>any</u>	<u>3</u>
Statistical Inferential Reasoning	<u>any</u>	<u>3</u>
IV. Citizenship (one course in each area)		
Community, Culture and Citizenship in the USA	<u>PS 101</u>	<u>3</u>
Global Dynamics	<u>PS 210</u>	<u>3</u>
Total General Education Hours		<u>30 (no change)</u>

3. Explain whether the proposed changes to the program (as described in sections 4 to 12) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).

For the current Political Science B.A. degree, nine additional hours at the 200+ level outside of Political Science are required. Under this proposed plan these nine hours would be satisfied by classes in the first year law school curriculum (LAW). Further, additional hours to reach 120 total credit hours will be fulfilled by LAW courses.

4. Explain how satisfaction of the University Graduation Writing Requirement will be changed.

Current	Proposed
<input type="checkbox"/> Standard University course offering. List: _____	<input type="checkbox"/> Standard University course offering. List: _____
<input checked="" type="checkbox"/> Specific course – list: <u>WRD 304</u>	<input checked="" type="checkbox"/> Specific course) – list: <u>WRD 304 (no change)</u>

5. List any changes to college-level requirements that must be satisfied.

Current	Proposed
<input type="checkbox"/> Standard college requirement. List: _____	<input type="checkbox"/> Standard college requirement. List: _____
<input checked="" type="checkbox"/> Specific required course – list: <u>PS 372, which satisfies the A&S Lab/Field Work requirement, is now required</u>	<input checked="" type="checkbox"/> Specific course – list: <u>PS 372, which satisfies the A&S Lab/Field Work requirement, is now required (no change).</u>

6. List pre-major or pre-professional course requirements that will change, including credit hours.

Current	Proposed
<u>PS 101</u>	<u>PS 101</u>
<u>PS 210</u>	<u>PS 210</u>
<u>PS 235.....9</u>	<u>PS 235.....9</u>
	<u>(no change)</u>

7. List the major's course requirements that will change, including credit hours.

³ Note that MA 109 is NOT approved as a Quantitative Foundations course. Students in a major requiring calculus will use a calculus course (MA 113, 123, 137 or 138) while students not requiring calculus should take MA 111, PHI 120 or another approved course.

CHANGE UNDERGRADUATE PROGRAM FORM

Current	Proposed
<p><u>Major/Core Requirements</u> <u>After being introduced to each undergraduate field, Political Science majors must take an additional 42 hours of course work that combines both (1) courses within the discipline and (2) courses covering topics related to the discipline but offered by other programs. These 42 hours, of which 27 must be at the 300+ level, are divided as follows.</u></p> <p><u>Disciplinary Courses</u></p> <p><u>Introduction to Political Methodology</u> <u>PS 3723</u></p>	<p><u>Major/Core Requirements</u> <u>After being introduced to each undergraduate field, Political Science majors must take an additional 42 hours of course work that combines both (1) courses within the discipline and (2) courses covering topics related to the discipline but offered by other programs. These 42 hours, of which 27 must be at the 300+ level, are divided as follows.</u></p> <p><u>Disciplinary Courses</u></p> <p><u>Introduction to Political Methodology</u> <u>PS 3723</u></p>
<p><u>Students must take 30 additional credit hours of Political Science course work, of which at least 15 hours must be at the 400+ level.....30</u></p>	<p><u>Students must take 30 additional credit hours of Political Science course work, of which at least 15 hours must be at the 400+ level.....30</u></p>
<p><u>Coursework Outside the Discipline</u></p> <p><u>Graduation Composition and Communication Requirement (GCCR)</u> <u>WRD 304 (advanced writing requirement)</u></p> <p><u>Plus choose nine credit hours of course work that is offered outside the major department but contributes to a better understanding of political and social science. Specifically, students may select any course offered at the 200-level or above by the following programs: AAS, ANT, ECO, GEO, GWS, HIS, HON, PCE, PHI, PSY, SOC, and STA. Specific courses from other programs related to the concentration may be substituted, subject to the approval of the Director</u></p>	<p><u>Coursework Outside the Discipline</u></p> <p><u>Graduation Composition and Communication Requirement (GCCR)</u> <u>WRD 304 (advanced writing requirement)</u></p> <p><u>Plus nine credit hours of course work outside the major that contributes to a better understanding of Political Science and the legal system. In the BLUE track these nine hours are satisfied by first year classes in the law school rather than in the allied disciplines, once a student applies and is accepted to UK Law school..</u> <u>..... 9</u></p>

CHANGE UNDERGRADUATE PROGRAM FORM

of Undergraduate Studies..... 9	
Major/Core hours: 42	Major/Core hours: 42

8. Does the **pgm require** a minor AND does the **proposed change** affect the required minor? N/A Yes No
 If "Yes," indicate current courses and proposed changes below.

Current	Proposed
_____	_____

9. Does the **proposed change** affect any option(s)? N/A Yes No
 If "Yes," indicate current courses and proposed changes below, including credit hours, and also specialties and subspecialties, if any.

Current	Proposed
<u>There is no current option for students in Political Science who plan to attend law school.</u>	<u>The current proposal would create an option for qualified students who want to complete all their specific coursework for their BA in three years, and finish the hours necessary to complete it while attending their first year of law school. It would give them the option of earning a four year degree (the BA) and a three year degree (the JD) in a total of 6 (rather than 7) years.</u>

10. Does the change affect **pgm requirements for number of credit hrs outside the major subject in a related field?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed
<u>We require nine credit hours from on of the following programs AAS, ANT, ECO, GEO, GWS, HIS, HON, PCE, PHI, PSY, SOC, and STA.</u>	<u>In the proposed degree track, those nine hours would be satisfied by first year classes in the law school rather than in the allied disciplines.</u>

11. Does the change affect **pgm requirements for technical or professional support electives?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed
_____	_____

12. Does the change affect a **minimum number of free credit hours or support electives?** Yes No
 If "Yes," indicate current courses and proposed changes below.

Current	Proposed
_____	_____

13. Summary of changes in required credit hours:

	Current	Proposed
a. Credit Hours of Premajor or Preprofessional Courses:	<u>9</u>	<u>9 (no change)</u>
b. Credit Hours of Major's Requirements:	<u>42</u>	<u>42 (no change)</u>
c. Credit Hours for Required Minor:	<u>n/a</u>	<u>n/a</u>
d. Credit Hours Needed for a Specific Option:	<u>(option does not exist yet)</u>	<u>22 (min) hours of classes at the law</u>

CHANGE UNDERGRADUATE PROGRAM FORM

		<u>schoo</u>
e. Credit Hours Outside of Major Subject in Related Field:	<u>9</u>	<u>9 (all from LAW)</u>
f. Credit Hours in Technical or Professional Support Electives:	<u>n/a</u>	<u>n/a</u>
g. Minimum Credit Hours of Free/Supportive Electives:	<u> </u>	<u>no change</u>
h. Total Credit Hours Required by Level:	100: <u>3</u>	<u>3</u>
	200: <u>6-24</u>	<u>6-21</u>
	300: <u>0-42</u>	<u>3-24</u>
	400-500: <u>0-39</u>	<u>15-36</u>
i. Total Credit Hours Required for Graduation:	<u>120</u>	<u>120 (no change)</u>

14. Rationale for Change(s) – if rationale involves accreditation requirements, please include specific references to that.

The College of Arts & Sciences and the College of Law propose to offer an accelerated Bachelor of Arts/Juris Doctor degree option. This accelerated degree option, also termed a “3+3” program, will enable high-achieving and strongly motivated students to earn the BA and JD in six years, thus reducing by one year the customary time to complete both degrees. Because this degree option will enable students to complete all academic requirements for the BA and JD within six years, admission to the program will be limited to incoming freshmen. Students will be required to apply to UK Law school in their junior year, for admission into Law school for their 4th year. The student will receive the Bachelor's degree upon completing 120 credit hours.

Students will earn their BA degrees within already established majors. Initially, the program will offer admitted students the opportunity to major in English, History, or Political Science, the three degree programs that currently send the most students to the University of Kentucky’s law school. Because the program will be rigorous and focused, a minimum ACT or SAT score and a minimum high school GPA will be necessary for admission.

This program will appeal strongly to talented, mature students who know early in their academic career that they ultimately wish to pursue a law degree. These students are often ambitious and possess a level of commitment to academic study that distinguishes them from their peers. The Colleges of Arts & Sciences and Law very much want to draw these students to the University of Kentucky, and, even more, provide them with academic programming that matches their level of skill and dedication.

Students in the program will benefit from experiencing a particularly rigorous, challenging and rewarding academic career. Participating students will have a natural cohort of academically motivated peers during their undergraduate years. Over the course of their initial three years, students will also be offered enrichment activities in the College of Law that acquaint them with the legal, clinical, community service, and career opportunities that a law degree makes possible.

Many benefits will also accrue to the University of Kentucky. Similar programs at other institutions have proven to be successful tools for recruiting top-tier students. While admission to the program will be selective and limited, the program will also have a ripple effect throughout the pre-law student community: the “3+3” program can become a hub for a more coherent and wider array of courses, activities, and intellectual programming for other students who are considering attending law school after graduation. We thus expect the program to enhance undergraduate engagement and retention.

15. List below the typical semester by semester program for the major. If multiple options are available, attach a separate sheet for each option.

YEAR 1 – FALL:	<u>UK Core ACR (3)</u>	YEAR 1 – SPRING:	<u>UK Core SIR (3)</u>
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CHANGE UNDERGRADUATE PROGRAM FORM

(e.g. "BIO 103; 3 credits")	<u>UK Core CC1 (3)</u> <u>Foreign Language 1 (4)</u> <u>UK Core CCC (PS 101) (3)</u> <u>UK Core HUM (3)</u>		<u>UK Core CC2 (3)</u> <u>Foreign Language 2 (4)</u> <u>UK Core GDY (PS 210) (3)</u> <u>UK Core QFO (3)</u>
YEAR 2 - FALL :	<u>Foreign Language 3 (3)</u> <u>A&S NS (3)</u> <u>UK Core SSC (PS 235) (3)</u> <u>A&S HUM (3)</u> <u>PS 300 + (3)</u> <u>Elective (3)</u>	YEAR 2 – SPRING:	<u>Foreign Language 4 (3)</u> <u>A&S Lab (PS 372) (3)</u> <u>GCCR (WRD 304) (3)</u> <u>UK Core NPM (3)</u> <u>A&S HUM (3)</u> <u>A&S NS (3)</u>
YEAR 3 - FALL:	<u>PS 300 + (3)</u> <u>PS 300 + (3)</u> <u>PS 300 + (3)</u> <u>PS 400+ (3)</u> <u>PS Elective (3)</u>	YEAR 3 - SPRING:	<u>PS 400+ (3)</u> <u>PS 400+ (3)</u> <u>PS 400+ (3)</u> <u>PS 400+ (3)</u> <u>Elective (3)</u>
YEAR 4 - FALL:	<u>Law 800+ (3)</u> <u>Law 800+ (3)</u> <u>Law 800+ (3)</u> <u>Law 800+ (3)</u> <u>Law 800+ (3)</u>	YEAR 4 - SPRING:	<u>Law 800+ (3)</u> <u>Law 800+ (3)</u> <u>Law 800+ (3)</u> <u>Law 800+ (3)</u> <u>Law 800+ (3)</u>

CHANGE UNDERGRADUATE PROGRAM FORM

Signature Routing Log

General Information:

Current Degree Title and Major Name: B.A., Political Science

Proposal Contact Person Name: Stephen Voss Phone: 333-0423 Email: dsvoss@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
PS Undergraduate Policy Committee	10/1/14	Daniel S. Morey / 7-4234 / dsmore2@uky.edu	
Education Policy Committee	12/2/14	Anna Bosch / 7-6689 / anna.bosch@uky.edu	
		/ /	
		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision ⁴
Undergraduate Council			
Graduate Council			
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

⁴ Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

CHANGE UNDERGRADUATE PROGRAM FORM

1. General Information

College: <u>Arts & Sciences</u>		Department: <u>English</u>	
Current Major Name: <u>English</u>		Proposed Major Name: <u>no change</u>	
Current Degree Title: <u>BA</u>		Proposed Degree Title: <u>no change</u>	
Formal Option(s): _____	Proposed Formal Option(s): <u>English BLUE ("Bachelor to Law Undergraduate Education" - 6 year program toward both a BA in English and a JD from UK Law School)</u>		
Specialty Field w/in Formal Option: _____	Proposed Specialty Field w/in Formal Options: _____		
Date of Contact with Associate Provost for Academic Administration ¹ :		<u>9/26/2014 (email exchange between Mia Alexander Snow and Anna Bosch)</u>	
Bulletin (yr & pgs): <u>2014-15, p. 140-1</u>	CIP Code ¹ : <u>23.0101</u>	Today's Date: <u>10/30/14</u>	
Accrediting Agency (if applicable):		<u>N/A (no accrediting agency for BA degree)</u>	
Requested Effective Date:		<input checked="" type="checkbox"/> Semester following approval.	OR <input type="checkbox"/> Specific Date ² : _____
Dept. Contact Person: <u>Pearl James</u>	Phone: <u>257-6978</u>	Email: <u>pearl.james@uky.edu</u>	

2. General Education Curriculum for this Program:

The new General Education curriculum is comprised of the equivalent of 30 credit hours of course work. There are, however, some courses that exceed 3 credits & this would result in more than 30 credits in some majors.

- There is no foreign language requirement for the new Gen Ed curriculum.
- There is no General Education Electives requirement.

Please list the courses/credit hours currently used to fulfill the University Studies/General Education curriculum:
Currently students have a great deal of flexibility in how they satisfy the US/GenEd/UK Core classes; they can, but do not have to, satisfy them by taking ENG classes. In the proposed Option, we recommend that the student satisfy one or even two of their UK Core Requirements in ENG: satisfy Arts & Creativity requirement with ENG 107; or satisfy the Humanities requirement with ENG 209 or 230. Doing either of these would satisfy the English major prerequisite at the same time. We also recommend they satisfy their Social Science requirement with Psychology 100 with the lab component, because that will satisfy A&S requirements that might otherwise take more time.

<i>Please identify below the suggested courses/credit hours to fulfill the General Education curriculum.</i>		
General Education Area	Course	Credit Hrs
I. Intellectual Inquiry (one course in each area)		
Arts and Creativity	<u>ENG 107</u>	<u>3</u>
Humanities	<u>ENG 209 or 230</u>	<u>3</u>

¹ Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the (APAA) can provide you with that during the contact.

² Program changes are typically made effective for the semester following approval. No program will be made effective until all approvals are received.

CHANGE UNDERGRADUATE PROGRAM FORM

Social Sciences	<i>PSY 100 + Lab</i>	<u>4</u>
Natural/Physical/Mathematical	<i>any</i>	<u>3</u>
II. Composition and Communication		
Composition and Communication I	CIS or WRD 110	3
Composition and Communication II	CIS or WRD 111	3
III. Quantitative Reasoning (one course in each area)		
Quantitative Foundations ³	<i>any</i>	<u>3</u>
Statistical Inferential Reasoning	<i>any</i>	<u>3</u>
IV. Citizenship (one course in each area)		
Community, Culture and Citizenship in the USA	<i>any</i>	<u>3</u>
Global Dynamics	<i>any</i>	<u>3</u>
Total General Education Hours		<u>30 (no change)</u>

3. Explain whether the proposed changes to the program (as described in sections 4 to 12) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).

For the current English B.A. degree, nine additional hours at the 200+ level outside English are required in allied departments and programs in Arts, Humanities, Social Sciences, and Education. Applicable departments and programs include (by prefix): A&S, AAS, AIS, ANT, APP, CHI, CLA, EDC, EDU, EPE, GER, GWS, HJS, HIS, HMN, HON, IAS, ITA, JOU, JPN, LAS, LIN, MAS, MCL, PHI, PS, RS, SPA, ST, WRD. In the herein proposed double degree, those nine hours would be satisfied by classes in the first year law school curriculum, once a student has been accepted into UK Law, rather than in the afore-named allied disciplines.

4. Explain how satisfaction of the University Graduation Writing Requirement will be changed.

Current <input type="checkbox"/> Standard University course offering. List: _____	Proposed <input type="checkbox"/> Standard University course offering. List: _____
<input checked="" type="checkbox"/> Specific course – list: <u>ENG 330</u>	<input checked="" type="checkbox"/> Specific course) – list: <u>ENG 330 (no change)</u>

5. List any changes to college-level requirements that must be satisfied.

Current <input checked="" type="checkbox"/> Standard college requirement. List: _____	Proposed <input checked="" type="checkbox"/> Standard college requirement. List: <u>no change</u>
<input type="checkbox"/> Specific required course – list: _____	<input type="checkbox"/> Specific course – list: _____

6. List pre-major or pre-professional course requirements that will change, including credit hours.

Current _____	Proposed <u>no change</u>
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7. List the major’s course requirements that will change, including credit hours.

Current	Proposed
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³ Note that MA 109 is NOT approved as a Quantitative Foundations course. Students in a major requiring calculus will use a calculus course (MA 113, 123, 137 or 138) while students not requiring calculus should take MA 111, PHI 120 or another approved course.

CHANGE UNDERGRADUATE PROGRAM FORM

	<u>no change</u>
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8. Does the **pgm require** a minor AND does the **proposed change** affect the required minor? N/A Yes No
 If "Yes," indicate current courses and proposed changes below.

Current	Proposed

9. Does the **proposed change** affect any option(s)? N/A Yes No
 If "Yes," indicate current courses and proposed changes below, including credit hours, and also specialties and subspecialties, if any.

Current	Proposed
<u>Right now there is no particular option for English majors who plan to attend law school.</u>	<u>The current proposal would create an option for qualified students who want to complete all their specific coursework for their BA in three years, and finish the hours necessary to complete it while attending their first year of law school, after acceptance into UK Law. It would give them the option of earning a four year degree (the BA) and a three year degree (the JD) in a total of 6 (rather than 7) years.</u>

10. Does the change affect **pgm requirements for number of credit hrs outside the major subject in a related field?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed
<u>For the current English B.A. degree, nine additional hours at the 200+ level outside English are required in allied departments and programs in Arts, Humanities, Social Sciences, and Education. Applicable departments and programs include (by prefix): A&S, AAS, AIS, ANT, APP, CHI, CLA, EDC, EDU, EPE, GER, GWS, HJS, HIS, HMN, HON, IAS, ITA, JOU, JPN, LAS, LIN, MAS, MCL, PHI, PS, RS, SPA, ST,WRD.</u>	<u>For the proposed degree, these nine hours would no longer be fulfilled by classes in these allied departments. Instead, they would be fulfilled by classes in the first year law school curriculum.</u>

11. Does the change affect **pgm requirements for technical or professional support electives?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed
	<u>no change; not applicable</u>

12. Does the change affect a **minimum number of free credit hours or support electives?** Yes No
 If "Yes," indicate current courses and proposed changes below.

CHANGE UNDERGRADUATE PROGRAM FORM

Current	<i>Proposed</i>
<u>Currently students choose electives and other courses to lead to the minimum total of 120 hours required for graduation. Arts and Sciences requires six hours of free electives.</u>	<u><i>In the proposed option, students would reach the minimum total of 120 hours required for graduation by taking classes in the law school. However they would still have a total of 11 hours of free electives, which is more than the minimum 6 hours Arts and Sciences requires.</i></u>

13. Summary of changes in required credit hours:

	Current	<i>Proposed</i>
a. Credit Hours of Premajor or Preprofessional Courses:	<u>3</u>	<u><i>3 (no change)</i></u>
b. Credit Hours of Major's Requirements:	<u>30</u>	<u><i>30 (no change)</i></u>
c. Credit Hours for Required Minor:	<u>N/A</u>	<u><i>N/A (no change)</i></u>
d. Credit Hours Needed for a Specific Option:	<u>(option does not exist yet)</u>	<u><i>30 hours of classes at UK law school</i></u>
e. Credit Hours Outside of Major Subject in Related Field:	<u>9</u>	<u><i>9 (no change)</i></u>
f. Credit Hours in Technical or Professional Support Electives:	<u>N/A</u>	<u><i>N/A (no change)</i></u>
g. Minimum Credit Hours of Free/Supportive Electives:	<u>N/A</u>	<u><i>N/A (no change)</i></u>
h. Total Credit Hours Required by Level:	100: _____	_____
	200: _____	_____
	300: <u>min. 21</u>	<u><i>min. 21 (no change)</i></u>
	400-500: <u>min. 6</u>	<u><i>min. 6 (no change)</i></u>
i. Total Credit Hours Required for Graduation:	<u>120</u>	<u><i>120 (no change)</i></u>

14. Rationale for Change(s) – if rationale involves accreditation requirements, please include specific references to that.

This degree option will enable high-achieving and strongly motivated students to earn the BA and JD in six years, thus reducing by one year the customary time to complete both degrees. Because this degree option will enable students to complete all academic requirements for the BA and JD within six years, admission to the program will be limited to incoming freshmen. Students will be required to apply to UK Law School in their junior year, for admission to Law school in their fourth year at UK. Students will receive the Bachelor's degree upon completing 120 credit hours.

This program will appeal strongly to talented, mature students who know early in their academic career that they ultimately wish to pursue a law degree. These students are often ambitious and possess a level of commitment to academic study that distinguishes them from their peers. The English Department very much wants to draw these students to the University of Kentucky, and, even more, provide them with academic programming that matches their level of skill and dedication.

Students in the program will benefit from experiencing a particularly rigorous, challenging and rewarding academic career. Participating students will have a natural cohort of academically motivated peers during their undergraduate years.

Many benefits will also accrue to the University of Kentucky. Similar programs at other institutions have proven to be successful tools for recruiting top-tier students. While admission to the program will be selective and limited, the program will also have a ripple effect throughout the pre-law student community: the "3+3" program can become a hub for a more coherent and wider array of courses, activities, and intellectual programming for other students who are considering attending law school after graduation. We thus expect the program to enhance undergraduate engagement and retention.

CHANGE UNDERGRADUATE PROGRAM FORM

15. List below the typical semester by semester program for the major. If multiple options are available, attach a separate sheet for each option.

<p>YEAR 1 – FALL: (e.g. “BIO 103; 3 credits”)</p>	<p><u>UK Core CC1; 3 credits</u> <u>Foreign Lang. 201; 3 credits</u> <u>UK Core QFO; 3 credits</u> <u>UK Core ACR (ENG 107-ENG pre-Major); 3 credits</u> <u>UK Core GDY; 3 credits</u></p>	<p>YEAR 1 – SPRING:</p>	<p><u>UK Core CC2; 3 credits</u> <u>Foreign Lang. 202; 3 credits</u> <u>UK Core HUM (ENG 209 or 230-ENG PreMajor); 3 credits</u> <u>UK Core SIR; 3 credits</u> <u>UK Core NPM; 3 credits</u></p>
<p>YEAR 2 - FALL :</p>	<p><u>ENG 241 or 251/Hist Surv & Early Period; 3 credits</u> <u>UK Core CCC; 3 credits</u> <u>A&S NS; 3 credits</u> <u>UK Core SSC and A&S Lab (PSY 100+Lab recommended); 4 credits</u> <u>Elective; 2 credits</u></p>	<p>YEAR 2 – SPRING:</p>	<p><u>ENG 330: Text & Context/ GCCR; 3 credits</u> <u>ENG 2xx/ Hist. Survey; 3 credits</u> <u>ENG course 300-500 level; 3 credits</u> <u>A&S SS; 3 credits</u> <u>Elective; 3 credits</u></p>
<p>YEAR 3 - FALL:</p>	<p><u>ENG course 300-500 Level; 3 credits</u> <u>ENG course 300-500 Level; 3 credits</u> <u>A&S NS; 3 credits</u> <u>Elective; 3 credits</u> <u>Elective; 3 credits</u></p>	<p>YEAR 3 - SPRING:</p>	<p><u>ENG course 300-500 Level; 3 credits</u> <u>ENG course 300-500 Level; 3 credits</u> <u>ENG course at the 400-level; 3 credits</u> <u>ENG course above the 407 level</u> <u>A&S SS</u></p>
<p>YEAR 4 - FALL:</p>	<p><u>Law 1</u> <u>Law 2</u> <u>Law 3</u> <u>Law 4</u> <u>Law 5</u></p>	<p>YEAR 4 - SPRING:</p>	<p><u>Law 6</u> <u>Law 7</u> <u>Law 8</u> <u>Law 9</u> <u>Law 10</u></p>

CHANGE UNDERGRADUATE PROGRAM FORM

Signature Routing Log

General Information:

Current Degree Title and Major Name: BA in English

Proposal Contact Person Name: Pearl James

Phone: 257-6978

Email: pearl.james@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Jeff Clymer, Chair	11/30/14	Jeff Clymer / 7-1292 / Jeff.clymer@uky.edu	
Education Policy Committee	12/2/14	Anna Bosch / 7-6689 / anna.bosch@uky.edu	
		/ /	
		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision ⁴
Undergraduate Council			
Graduate Council			
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

⁴ Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

CHANGE UNDERGRADUATE PROGRAM FORM

1. General Information

College: <u>Arts & Sciences</u>		Department: <u>History</u>	
Current Major Name: <u>History</u>		Proposed Major Name: <u>no change</u>	
Current Degree Title: <u>BA</u>		Proposed Degree Title: <u>no change</u>	
Formal Option(s): _____	Proposed Formal Option(s): <u>History BLUE ("Bachelor to Law Undergraduate Education" - 6 year program toward both a BA in History and a JD from UK Law School)</u>		
Specialty Field w/in Formal Option: _____	Proposed Specialty Field w/in Formal Options: _____		
Date of Contact with Associate Provost for Academic Administration ¹ :		<u>9/26/2014 (email exchange between Mia Alexander Snow and Anna Bosch)</u>	
Bulletin (yr & pgs): <u>2014-15, p. 152-53</u>	CIP Code ¹ : <u>54.0101</u>	Today's Date: <u>11/10/14</u>	
Accrediting Agency (if applicable): <u>N/A (no accrediting agency for BA degree)</u>			
Requested Effective Date: <input checked="" type="checkbox"/> Semester following approval.		OR	<input type="checkbox"/> Specific Date ² : _____
Dept. Contact Person: <u>Karen Petrone</u>	Phone: <u>257-4345</u>	Email: <u>petrone@uky.edu</u>	

2. General Education Curriculum for this Program:

The new General Education curriculum is comprised of the equivalent of 30 credit hours of course work. There are, however, some courses that exceed 3 credits & this would result in more than 30 credits in some majors.

- There is no foreign language requirement for the new Gen Ed curriculum.
- There is no General Education Electives requirement.

Please list the courses/credit hours currently used to fulfill the University Studies/General Education curriculum:

Currently students have a great deal of flexibility in how they satisfy the US/GenEd/UK Core classes; they can, but do not have to, satisfy them by taking HIS classes. In the proposed Option, we recommend that the student satisfy three UK Core Requirements in HIS. Doing these would satisfy the History pre-major requirement and 3 hours toward the major. We also recommend they satisfy their Social Science requirement with Psychology 100 with the lab component, because that will satisfy A&S requirements that might otherwise take more time.

Please identify below the suggested courses/credit hours to fulfill the General Education curriculum.

General Education Area	Course	Credit Hrs
I. Intellectual Inquiry (one course in each area)		
Arts and Creativity	<u>any</u>	<u>3</u>
Humanities	<u>HIS</u> <u>202,203,229,230</u>	<u>3</u>

¹ Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the (APAA) can provide you with that during the contact.

² Program changes are typically made effective for the semester following approval. No program will be made effective until all approvals are received.

CHANGE UNDERGRADUATE PROGRAM FORM

Social Sciences	<u>PSY 100 + Lab</u>	<u>4</u>
Natural/Physical/Mathematical	<u>any</u>	<u>3</u>
II. Composition and Communication		
Composition and Communication I	CIS or WRD 110	3
Composition and Communication II	CIS or WRD 111	3
III. Quantitative Reasoning (one course in each area)		
Quantitative Foundations ³	<u>any</u>	<u>3</u>
Statistical Inferential Reasoning	<u>any</u>	<u>3</u>
IV. Citizenship (one course in each area)		
Community, Culture and Citizenship in the USA	<u>HIS 108,109, 112, 261</u>	<u>3</u>
Global Dynamics	<u>HIS 105, 121,122</u>	<u>3</u>
Total General Education Hours		<u>31</u>

3. Explain whether the proposed changes to the program (as described in sections 4 to 12) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).

For the current History B.A. degree, 15 additional hours at the 300+ level outside History are required in allied departments and programs. In the herein proposed degree track, those fifteen hours would be satisfied by classes in the first-year law school curriculum rather than in the afore-named allied disciplines, once the student has been accepted into UK Law.

4. Explain how satisfaction of the University Graduation Writing Requirement will be changed.

Current	Proposed
<input type="checkbox"/> Standard University course offering. List: _____	<input type="checkbox"/> <i>Standard University course offering.</i> List: _____
<input checked="" type="checkbox"/> Specific course – list: <u>HIS 499</u>	<input checked="" type="checkbox"/> <i>Specific course) – list: <u>HIS 499 (no change)</u></i>

5. List any changes to college-level requirements that must be satisfied.

Current	Proposed
<input checked="" type="checkbox"/> Standard college requirement. List: _____	<input checked="" type="checkbox"/> <i>Standard college requirement.</i> List: <u>no change</u>
<input type="checkbox"/> Specific required course – list: _____	<input type="checkbox"/> <i>Specific course – list: _____</i>

6. List pre-major or pre-professional course requirements that will change, including credit hours.

Current	Proposed
_____	<u>no change</u>

7. List the major's course requirements that will change, including credit hours.

Current	Proposed
_____	<u>no change</u>

³ Note that MA 109 is NOT approved as a Quantitative Foundations course. Students in a major requiring calculus will use a calculus course (MA 113, 123, 137 or 138) while students not requiring calculus should take MA 111, PHI 120 or another approved course.

CHANGE UNDERGRADUATE PROGRAM FORM

- 8. Does the pgm require a minor AND does the proposed change affect the required minor?** N/A Yes No
 If "Yes," indicate current courses and proposed changes below.

Current	Proposed
_____	_____

- 9. Does the proposed change affect any option(s)?** N/A Yes No
 If "Yes," indicate current courses and proposed changes below, including credit hours, and also specialties and subspecialties, if any.

Current	Proposed
<u>Right now there is no particular option for History majors who plan to attend law school.</u>	<u>The current proposal would create an option for qualified students who want to complete all their specific coursework for their BA in three years, and finish the hours necessary to complete the BA while attending their first year of law school. It would give them the option of earning a four year degree (the BA) and a three year degree (the JD) in a total of 6 (rather than 7) years.</u>

- 10. Does the change affect pgm requirements for number of credit hrs outside the major subject in a related field?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed
<u>For the current History B.A. degree, 15 additional hours at the 300+ level outside History are required in allied departments and programs.</u>	<u>In the proposed degree track, those fifteen hours would be satisfied by first year classes in the law school rather than in the allied disciplines.</u>

- 11. Does the change affect pgm requirements for technical or professional support electives?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed
_____	<u>no change; not applicable</u>

- 12. Does the change affect a minimum number of free credit hours or support electives?** Yes No
 If "Yes," indicate current courses and proposed changes below.

Current	Proposed
<u>Currently students choose electives and other courses to lead to the minimum total of 120 hours required for graduation. Arts and Sciences requires six hours of free electives.</u>	<u>In the proposed option, students would reach the minimum total of 120 hours required for graduation by taking classes in the law school during year four of their enrollment at UK. However students would still have six hours of free electives which Arts & Sciences requires.</u>

13. Summary of changes in required credit hours:

	Current	Proposed
a. Credit Hours of Premajor or Preprofessional Courses:	<u>6</u>	<u>6 (no change)</u>
b. Credit Hours of Major's Requirements:	<u>30</u>	<u>30 (no change)</u>

CHANGE UNDERGRADUATE PROGRAM FORM

c. Credit Hours for Required Minor:	<u>N/A</u>	<u>N/A (no change)</u>
d. Credit Hours Needed for a Specific Option:	<u>(option does not exist yet)</u>	<u>30 hours of classes at the law school</u>
e. Credit Hours Outside of Major Subject in Related Field:	<u>15</u>	<u>15 (no change)</u>
f. Credit Hours in Technical or Professional Support Electives:	<u>N/A</u>	<u>N/A (no change)</u>
g. Minimum Credit Hours of Free/Supportive Electives:	<u>N/A</u>	<u>N/A (no change)</u>
h. Total Credit Hours Required by Level:	100: _____	_____
	200: _____	_____
	300: <u>min. 39</u>	<u>min. 39 (no change)</u>
	400-500: _____	_____
i. Total Credit Hours Required for Graduation:	<u>120</u>	<u>120 (no change)</u>

14. Rationale for Change(s) – if rationale involves accreditation requirements, please include specific references to that.

This degree option will enable high-achieving and strongly motivated students to earn the BA and JD in six years, thus reducing by one year the customary time to complete both degrees. Because this degree option will enable students to complete all academic requirements for the BA and JD within six years, admission to the program will be limited to incoming freshmen. Students will be required to apply to UK Law in their junior year, for admission to Law school in their fourth year at UK. Students will receive the Bachelor's degree upon completing 120 credit hours.

This program will appeal strongly to talented, mature students who know early in their academic career that they ultimately wish to pursue a law degree. These students are often ambitious and possess a level of commitment to academic study that distinguishes them from their peers. The History Department very much wants to draw these students to the University of Kentucky, and, even more, provide them with academic programming that matches their level of skill and dedication.

Students in the program will benefit from experiencing a particularly rigorous, challenging and rewarding academic career. Participating students will have a natural cohort of academically motivated peers during their undergraduate years.

Many benefits will also accrue to the University of Kentucky. Similar programs at other institutions have proven to be successful tools for recruiting top-tier students. While admission to the program will be selective and limited, the program will also have a ripple effect throughout the pre-law student community: the “3+3” program can become a hub for a more coherent and wider array of courses, activities, and intellectual programming for other students who are considering attending law school after graduation. We thus expect the program to enhance undergraduate engagement and retention.

15. List below the typical semester by semester program for the major. If multiple options are available, attach a separate sheet for each option.

YEAR 1 – FALL: (e.g. “BIO 103; 3 credits”)	<u>UK Core CC1; 3 credits</u> <u>Foreign Lang. 101; 4 credits</u> <u>UK Core QFO; 3 credits</u> <u>UK Core ACR; 3 credits</u> <u>UK Core GDY (HIS 105, 121, 122, HIS pre-major); 3 credits</u>	YEAR 1 – SPRING:	<u>UK Core CC2; 3 credits</u> <u>Foreign Lang. 102; 4 credits</u> <u>UK Core CCC (HIS 108, 109, 112, 261 HIS pre-major); 3 credits</u> <u>UK Core SIR; 3 credits</u> <u>UK Core NPM; 3 credits</u>
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CHANGE UNDERGRADUATE PROGRAM FORM

<p>YEAR 2 - FALL :</p>	<p><u>UK Core HUM (HIS 202, 203, 229, 230); 3 credits</u> <u>A&S NS; 3 credits</u> <u>UK Core SSC and A&S Lab (PSY 100+Lab); 4 credits</u> <u>Foreign Language 201; 3 credits</u></p>	<p>YEAR 2 – SPRING:</p>	<p><u>Foreign Language 202; 3 credits</u> <u>A&S SS; 3 credits</u> <u>A&S HUM (HIS 200+); 3 credits</u> <u>A&S HUM (His 200+); 3 credits</u> <u>HIS 301; 3 credits</u></p>
<p>YEAR 3 - FALL:</p>	<p><u>HIS 300+; 3 credits</u> <u>HIS 300+; 3 credits</u> <u>His 300+; 3 credits</u> <u>A&S SS; 3 credits</u> <u>Elective; 3 credits</u></p>	<p>YEAR 3 - SPRING:</p>	<p><u>His 300+; 3 credits</u> <u>His 300+ 3 credits</u> <u>GCCR (HIS 499); 3 credits</u> <u>Elective; 3 credits</u> <u>A&S NS</u></p>
<p>YEAR 4 - FALL:</p>	<p><u>Law 1</u> <u>Law 2</u> <u>Law 3</u> <u>Law 4</u> <u>Law 5</u></p>	<p>YEAR 4 - SPRING:</p>	<p><u>Law 6</u> <u>Law 7</u> <u>Law 8</u> <u>Law 9</u> <u>Law 10</u></p>

CHANGE UNDERGRADUATE PROGRAM FORM

Signature Routing Log

General Information:

Current Degree Title and Major Name: BA in History

Proposal Contact Person Name: Karen Petrone Phone: 257-4345 Email: petrone@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Department of History	10/29/14	Karen Petrone / 257-4345 / petrone@uky.edu	
Karen Petrone		/ /	
Education Policy Committee	12/2/14	Anna Bosch / 7-6689 / anna.bosch@uky.edu	
		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision ⁴
Undergraduate Council			
Graduate Council			
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

⁴ Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

MINUTES

The education Policy Committee convened on Tuesday, December 2, 2014 at 12:35pm in 318 POT Patterson Office Tower. Sadia Zoubir-Shaw presided.

Present: Sadia Zoubir-Shaw, Janet Eldred, Jack Selegue, Stephen Testa, Christia Brown, Susan Gardner, Ernie Yanarella, Carmen Moreno-Nuno, Tony Stallins; Ruth Beattie, Associate Dean for Advising and Anna Bosch, Associate Dean for Undergraduate Studies

The committee discussed the BLUE proposal. Jeff Clymer, Karen Petrone, Mary Davis, and Toni Robinson were all available to answer questions.

Janet Eldred Motioned to approve

Ernie Yanarella seconded her motion

The committee unanimously approved the program proposal.

The Tuesday, November 18, 2014 minutes were approved.

Old business: (Reference Sheet Attached)

1 course proposal was approved

7 courses are pending

4 courses were approved conditionally

New Business: (Reference Sheet Attached)

5 new course proposals were assigned

Ernie Yanarella nominated Phil Kraemer to be the chair of the EPC in spring 2015.

Stephen Testa seconded his motion

The committee unanimously approved Phil Kraemer as the chair of EPC for spring 2015.

Phil was not present at this meeting. Sadia will email Phil to see if he is willing/accepts his appointment as chair for spring 2015.

Meeting Adjourned at 1:45pm.

Submitted by,

Camille Harmon, Recording Secretary

University of Kentucky

College of Law

Minutes of Faculty Meeting

December 17, 2014

Attending: Dean Brennen; Associate Deans Michael and Steele; Assistant Dean Murhpy; Professors Ausness, Brooks, Bird-Pollan (via video), Campbell, Clay, Connelly, Davis, Donovan, Douglas, Frost, Frye, Grise, Hazelwood, Healy, Henke, Huberfeld, Kightlinger, Kraft, Lollar, Moore, Nuckolls, Price, Runge, Schueler, Schwemm, Steenken, Underwood, Valentin, and Welling; Director of Admissions Robinson and Director of Information Technology Groves; student Kevin Havelda.

1. The Dean called the meeting to order at 2:02 pm.
2. Dean's Report:
 - a. Update on new building and report on job descriptions of staff.
3. Approval of Minutes of Previous Meetings:
 - a. Professor Davis moved to approve the faculty meeting minutes from November 20, 2014. Professor Huberfeld seconded the motion. **FACULTY VOTE:** Motion passes. The faculty voted to approve the minutes.
4. Committee Reports
 - a. Faculty Executive Committee Proposal:
 - i. The Faculty Executive Committee has proposed an amendment to faculty Rule XIV.G.1.a. The amendment that they recommended for adoption is as follows:

Within the College of Law, Law Library faculty may participate fully on issues of faculty governance within the Law Library. (Procedures related to Law Library faculty appointment, retention, promotion, and tenure are set out separately at G. 5-7. below.) Law Library faculty will not participate in College of Law faculty governance, with the exception of voting attendance at College of Law faculty meetings on matters directly pertaining to the law library, legal research teaching or law library personnel, and participation on faculty committees as assigned by the Dean. In preparing the agenda for faculty meetings, the Dean, on recommendation of the Law Library Director, shall designate, in her/his discretion, those agenda items on which such library faculty may vote.

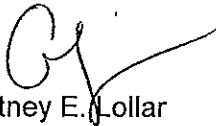
- ii. Discussion of recommended amendment.
 - iii. **FACULTY VOTE:** Motion passes. The faculty voted to approve the amendment
- b. Admissions Committee:
- i. Professor Davis presented an update on proposed BA/JD 3+3 Degree Program (titled Bachelor to Law Undergraduate Education program, or "BLUE") and a proposal from the College of Arts & Sciences that was reviewed and recommended for adoption by the Admissions Committee. Discussion of the proposal (see attached). **FACULTY VOTE:** Motion passes. The faculty voted to approve the proposed BA/JD 3+3 Degree (BLUE) program.
- c. Appointments Committee:
- i. Professor Price presented the report of the Appointments Committee following the campus visits of several potential hiring candidates. The Committee recommended the faculty advise the Dean to make an offer to Albertina Antognini for an entry-level position on the University of Kentucky College of Law faculty. If she declines, the Committee recommends the faculty advise the Dean to make an offer to Zack Bray. If he declines, the Committee recommends the faculty advise the Dean to make an offer to Natalie Banta.
 - ii. Kevin Havelda, student representative to the Appointments Committee, was present to answer questions. Questions and discussion followed. Mr. Havelda was then excused.
 - iii. Discussion of the Committee's recommendation followed.
 - iv. **FACULTY VOTE:** Motion passes. The faculty voted, 9-7, to recommend the Dean make an offer of hire first to Ms. Antognini; if Ms. Antognini declines the offer of employment, the faculty recommends the Dean make an offer of hire to Mr. Bray; if Mr. Bray declines the offer of employment, the faculty recommends the Dean make an offer to Ms. Banta.
 - v. Professor Frost made a motion to reverse the order of the top two candidates, and then have the faculty vote again on the recommendation. Professor Frost proposed that the faculty vote to advise the Dean to make an offer to Zack Bray for an entry-level position on the University of Kentucky College of Law faculty. If he declines, the faculty would advise the Dean to make an offer to Albertina Antognini. If she declines, the faculty would advise the Dean to make an offer to Natalie Banta. Professor Welling seconded the motion.
 - vi. Discussion of Professor Frost's proposal followed.
 - vii. **FACULTY VOTE:** The motion did not pass. The faculty vote was tied, 8-8, on Professor Frost's proposal amending the Appointments Committee's recommendation.

5. Recommendation to Allow Increased Enrollment

- a. Professor Schueler requested, in response to faculty Rule III.B, that the enrollment cap for Administrative Law be raised from 70 to 84 in the spring semester, 2015, in order to accommodate students currently on the waitlist (given that there is only one section of Administrative Law offered in this spring).
- b. Professor Healy moved to increase the enrollment cap for Administrative Law in the Spring 2015 semester. Professor Kightlinger seconded the motion.
- c. Discussion.
- d. **FACULTY VOTE:** Motion passed. Enrollment cap for Administrative Law raised for Spring 2015 semester to 84.

6. The meeting was adjourned at 3:48 pm.

Respectfully Submitted,



Cortney E. Lollar

Memorandum

To: Admissions Committee

From: Mary J. Davis, Admissions Committee Chair

CC: Dean David A. Brennen, Associate Dean Doug Michael

Date: December 10, 2014

Re: Recommendation for amendment to UK Law Admissions policy to reflect 6 year BA/JD

Dear Admissions Committee Members:

The College of Arts and Sciences (A&S) has finalized its proposal to endorse a 6 year BA to JD degree program (also referred to as a 3+3 program). The Educational Policy Committee of A&S (the equivalent to our Curriculum Committee) voted unanimously to approve this degree program on December 2, 2014. The proposal is attached for your review. Toni and I worked with those at A&S responsible for putting this degree program together and are happy to answer any questions you may have about it. Our next step is to approve a change to our College of Law Admissions policies to reflect our willingness to consider applicants from this program.

As I explained to the faculty at our September meeting, A&S decided to pursue this degree program option with English, History, and Political Science majors. The Chairs of those departments, along with the Associate Dean of Undergraduate Studies, Anna Bosch, and Dean Kornbluh, thoroughly explored all issues surrounding this proposed degree plan. I highlight a few of the program's details for you below:

- The degree program will be named the BLUE program (Bachelor to Law Undergraduate Education). This name was chosen after many names were vetted. We were asked to consider this name, along with others, and BLUE met with the greatest support. An undergraduate applicant will apply to the History BLUE, Political Science BLUE, or English BLUE degree program during their senior year of high school.
- Everyone at A&S understands that acceptance into the BLUE program does not guarantee admission to UK Law and that each BLUE program participant must seek separate admission to UK Law during their junior year.
- A separate A&S Admissions Committee will select applicants for admission to the BLUE program, including a representative from the law school.
- The minimum requirements to apply to the BLUE program will be 29 ACT and 3.5 (unweighted) GPA. As a point of reference, the Honors Program's baseline requirements for admission are 28 ACT and 3.5 (unweighted) GPA and the minimums for competitive freshman scholarships (including Singletary, Presidential, and Commonwealth) are 31 ACT and 3.5 (unweighted) GPA.

- A newly hired pre-law advisor will work with the BLUE program students on curricular choices. In addition, the advisor will ensure, as much as possible, the applicants are prepared for law school when the time comes to help address any concerns with maturity.

Based upon this information and the EPC's approval of the BLUE degree program proposal, I propose we amend our Admissions policies to reflect this new degree program by accepting students who have successfully completed three (3) years of undergraduate study, but who will not have a bachelor's degree at the time of admission to UK Law. These students will receive an undergraduate degree from UK at the successful completion of their first year of law school. Below is my formal recommendation:

Statement of Admissions Policy for Applicants for an Entering Class will be amended as follows (underlining reflects new material):

1. The applicant must have a bachelor's degree from an accredited Institution. If the applicant is a student at the University of Kentucky and is enrolled in an approved Bachelor to Law Undergraduate Program (BLUE) program, the applicant will be considered for admission without having a bachelor's degree at the time of enrollment. ^{Education}

Amendment of the UK College of Law Admissions policies will become effective upon final approval by all appropriate University governing bodies of the underlying Bachelor's to Law Undergraduate Education (BLUE) degree programs.

Please let Toni or me know if you have any questions about the BLUE program or the suggested amendment to our Admissions policy. If you would like to meet on this issue, I am happy to schedule an Admissions Committee meeting for that purpose. If you approve this policy amendment, I would like to submit it to the faculty for approval at the December faculty meeting.

Thanks,

Mary



Jeffory A. Clymer, Chair
Department of English
1215 Patterson Office Tower
Lexington, KY 40506-0027

859 257-7008
fax 859 323-1072

www.as.uky.edu/English

April 28, 2015

Dr. Andrew Hippisley
Chair, Senate Council
University of Kentucky

Dear Dr. Hippisley:

I write to indicate the English Department's broad and enthusiastic support, as well as my own strong endorsement, of the proposed Bachelors to Law Undergraduate Education (BLUE) program. The Department discussed and voted unanimously at our October 1, 2014 meeting to participate in the program (minutes attached to this letter).

With its focus on skills of writing, inference, and analysis, the English major offers especially excellent preparation for law school, and many of our graduates do go on to legal training. We in English especially support the BLUE proposal because we are actively seeking ways to recruit highly motivated and exceptionally qualified students to the University of Kentucky and directly into the English major *from the beginning of their collegiate career*. While we don't envision this program involving a large number of students, we expect that it will appeal to the segment of students who are interested in the Humanities and in ultimately pursuing a law degree. Mature, academically driven students are exactly whom we wish to recruit into English, Arts & Sciences, and the University, and we very much believe BLUE will help us do that. Moreover, for students with the requisite qualifications and desires, BLUE is poised to offer a particularly clear and rigorous educational experience during their college years. We believe it will provide an enriching and academically valuable education for students who participate in the program.

Sincerely,

A handwritten signature in black ink that reads 'Jeffory A. Clymer'.

Jeffory A. Clymer
Professor and Chairperson

**English Department Faculty Meeting
Minutes
10/1/2014**

Attendees: Andrew Ewell, Manuel Gonzales, Ellen Rosenman, Jeff Clymer, Mike Genovese, Matt Godbey, Armando Prats, Marion Rust, Rynetta Davis, Jill Rappoport-Genovese, Gurney Norman, Joyce MacDonald, Andy Doolen, Janet Eldred, Andrew Byrd, Alyssa MacLean, Michael Trask, Julia Johnson, Hannah Pittard, Jonathan Allison, Fabiola Henri, Peter Kalliney, Rusty Barrett, Greg Stump, Erik Reece, DaMaris Hill, Anna Bosch, Andrew Hippisley, Matt Giancarlo

Dean Kornbluh's update:

--Undergraduate Education

- modified RCM will come out October 27th
- # of students who successfully take a course
- will require midterm grades for CORE classes
- strongly suggest regular use of academic alerts to catch issues early

--Graduate Education

- how do we improve the quality of our graduate programs?
- benchmark study
- workload conversations across the college
- Dean's office will facilitate a conversation between ENG and WRD about the 20+ hr workload for TAs teaching in WRD
- need creative ideas for how to teach more undergrads (\$) while reducing TA load to manageable levels
- UG learning assistants?
- professional masters programs, certificates, etc.?

--Update on Campus Building Projects

--Blackboard

- will be moving to Canvas in three stages (now, February, summer 2015)

Chair's update:

--New DMS, Kristen Pickett, starting October 20th

--ENG 130 submitted for review by college on Oct 7th

--CW minor submitted for review by college on Oct 7th

--Barbara and Joe Cowles have agreed to bequeath \$100,000 to the department

--University Press will offer 2 internships per year for ENG majors (competitive), unpaid but credit-bearing

--KY Young Writers Summer Camp for high school students

--Gaines Center Call for Papers

3+3 English/Law School Degree Track within the ENG Major

--3 years BA + 3 years law school

--all ENG and A&S requirements fulfilled in first 3 years; law courses in 4th year would fill BA electives

--students would have to apply separately to the Law School, but would be considered competitive

--Motion to accept the proposal – Matt Giancarlo; Ellen Rosenman 2nd; vote unanimous in favor

Study Abroad

--Oct 21st – Oct 30th, study abroad representatives will be visiting ENG classes to talk to students about study abroad opportunities

--Wed., Oct 29th, 3pm, 357 student center, Education Abroad will host a party/presentation specifically for English students to learn more about study abroad opportunities

--Study Abroad is focusing on finding opportunities abroad that will enhance the English curriculum here at UK

--Study Abroad is interested in developing opportunities for faculty to take students abroad



College of Arts and Sciences
Department of History
1715 Patterson Office Tower
Lexington, KY 40506-0027
859 257-6861
fax 859 323-3885
www.uky.edu

April 28, 2015

Dr. Andrew Hippisley
Chair, Senate Council
University of Kentucky

Dear Professor Hippisley,

I am writing to indicate the History Department's strong support for the proposed Bachelors to Law Undergraduate Education Program (BLUE). The History Department faculty voted via email in October and unanimously endorsed the plan. Though the faculty had some remaining questions about how the program would impact students when we met in person in December (see attached minutes), History faculty are eager to work with the high caliber of students this program would attract.

The History major is ideal training for law school, with its focus on finding and interpreting evidence, building arguments through written and oral communication, and critical thinking. We already consider ourselves one of the most effective pre-law majors, and this program would enable us to attract students who were even stronger. Because of the savings in time and cost, we hope to be able to recruit strong History majors who would have otherwise gone to other universities.

The admissions process would have to be rigorous as completing the History major in three years can only be accomplished by a focused individual. We would only admit the few students with strong credentials, but this program enables us to offer them a demanding and rewarding program leading to a law degree in six years.

Thank you so much for your consideration of the above.

Very truly yours,

A handwritten signature in cursive script that reads "Karen Petrone". The signature is written in dark ink and is positioned above the printed name and title.

Karen Petrone
Professor and Chair

History Department faculty meeting
December 8, 2014

Present: Karen Petrone, Erik Myrup, Hang Nguyen, Tracy Campbell, Joanne Melish, Jeremy Popkin, Francis Musoni, Gerald Smith, Bruce Holle, Paul Chamberlin, Dan Gargola, Melanie Beals Goan, Amy Taylor, Tammy Whitlock, Jane Calvert, Scott Taylor, Anastasia Curwood, Phil Harling, Mark Summers, Gretchen Starr-LeBeau

Meeting began at 3:35pm.

The History Department voted on the 3+3 Program via email, with the voting concluded on October 29th, 2014.

The vote tally was 15 votes in favor and 0 opposed. Faculty had additional questions and concerns about the program:

- I. Law program 3+3: Potential concerns
 - a. Financial concerns: they will lose undergraduate tuition and undergraduate financial aid in the fourth year/first year of law school.
 - i. Response: this is true, but they will be able to receive law school financial aid.
 - b. First year of law school is intense; this could be hard for undergrads.
 - i. Response: they will be in their fourth year of undergraduate schooling have the first year of law school, which is a set curriculum. In effect, they will have completed their undergraduate schooling in three years.
 - ii. The curriculum is no different, just compressed.
 - c. They do need to apply for, and be accepted to, law school at UK for this to work. If they don't have sufficient LSAT scores, they won't get in. In fact, there are many ways to opt out of the program, even after taking a semester of law school (those will count for their undergrad credit)
 - d. Thirty credits will count twice—for undergrad and law school.
- II. Alumni advisory board follow-up
 - a. A recent conference call went well (Karen, Erik, and Melanie all participated). We're working well with alumni particularly in internships and recruitment.
 - b. Our spring alumni event will be May 15-16, 2015 with Todd Estes, who is publishing a collection of Lance Banning's essays.
- III. Many events coming up in the Spring
 - a. Year of the Middle East (dates are on the calendar; fewer for History. Juan Cole will be here at the end of March).
 - b. Jeremy has organized a conference Feb. 27 on WWII Jewish refugees in Shanghai, China in conjunction with an exhibit at WT Young Library
 - c. March 5-7 Conference on Women in Slavic Studies; Southern Regional conference in Slavic Studies
 - d. Francis and Carlos de la Torre are bringing in a speaker on Feb. 19.

- e. The International Studies program is having a conference on memory, probably in March (no one remembers when)
 - f. Filmmaker coming Feb. 23, Sami Shetrit (sp?) on Black Panthers in Israel
 - g. Bale-Boone conference, legacy of the Civil War: Coleman Hutchison, Ed Ayers, David Blight
 - h. Works in progress seminar. Monica Diaz in January 26; Danielle Dodson Feb. 23, Joanne Melish April 27, Ben Blanford (recent Geography PhD) in March.
 - i. This Friday, David Hamilton will present a work in progress paper on Friday
 - j. March 25 speaker giving the Pritchett lecture
- IV. Job search update
- a. We got 29 applications for a specialized search. Some excellent candidates in the pool. Skype interviewing the top eight this week, narrowing it down to three finalists before the break.
- V. Other updates:
- a. Ellen Furlough would welcome some contact, as would Frank. Drop a line, send a note, call.
 - b. No updates on Steve Davis
- VI. DGS Update
- a. Expect grad student evaluation sheets to appear shortly.
 - b. Expect student applications to start coming through soon.
 - c. The Dean has created two semester-long History Department Bryan dissertation fellowships, which we should have access to shortly. Those will be allocated to students who are close to finishing to finish up (or get close).
- VII. DUS Update
- a. Congratulations to Tammy and Melanie for being admitted to the AHA Tuning Project. A chance to think about what competencies we want students to have when they graduate, so that we are all in tune. After they return from the AHA they will work with Erik on curricular reform/update; and then report back to the AHA.
 - b. College retention is a major concern. Looking demographically at students who might drop out, and trying to address it. Might be some correlation with the length of the "ACT tail." This is a major concern of the President right now, and any course with a DEW rate of 20% or more will come in for increased monitoring. The chair does not want us to lower our standards to increase our retention rates; however, you might intervene sooner when students begin to disappear.
 - c. Course enrollment issues. Low enrollment this spring; try promoting your course if enrollment is low. Also, we need to decrease our dependence on the 350-series of numbers (350-355).
 - d. Promoting courses more generally: Erik is happy to be a resource in helping you post flyers, promote to advisors, etc.

- e. Erik thinks that we should put these new 200- and 300-levels into the UK Core when we submit these as new courses, which should help with enrollment.

Meeting adjourned at 4:44pm.



UNIVERSITY OF KENTUCKY

Dr. Ernest J. Yanarella, Professor and Chair
Endowed Professor, Chellgren Center
For Undergraduate Excellence
Department of Political Science
Patterson Office Tower # 1621
Lexington, Kentucky 40506-0027
Phone: (859) 257-8581

April 30, 2015

University Senate Council
203E Main Building
University of Kentucky -0032

Dear Senate Council Members:

As chair of the UK Department of Political Science, I write to express my strong endorsement of the BLUE program. I and my fellow and sister faculty members thoroughly reviewed the details of a past Department meeting and voted unanimously to offer our support for the rationale and particulars of this curriculum proposal. It was previously vetted as well through the Department's Executive Core committee (Chair, Associate Chair, DUS, and DGS.)

Though initiated at the request of the UK School of Law to the College of Arts and Sciences, I fully participated in developing architecture of this program and my departmental director of undergraduate studies worked with our undergraduate program committee to assure that its features aligned with our undergraduate curriculum and major requirements without unduly burdening prospective political science majors who might sign up for it. While we do not anticipate a large number of such majors enrolling in the program, my faculty is confident that the program will suit the needs of a percentage of our majors who will find the opportunity to cut the costs and saving a year for earning a bachelor's degree and completing law school. The only negative that arose in faculty discussions was that BLUE might slightly lower the number of senior political science/pre-law students seeking honors in political science. In the end, it was broadly felt that BLUE's benefits outweighed such an impact. In any event, this ramification has prompted us to seek other ways of increasing the numbers of graduating seniors (usually 8-14 of which half are general pre-law students) pursuing honors.

In sum, my support and that of my faculty is wide and deep and we can only express our hope that the program will be passed by the Senate Council and University Senate with little, if any, dissent.

Sincerely yours,

Ernest J. Yanarella
Professor and Chair-

RECEIVED

JAN 23 2015

OFFICE OF THE
SENATE COUNCIL

UNIVERSITY OF KENTUCKY
SCHOOL OF MUSIC
COLLEGE OF FINE ARTS

Proposal for a Graduate Certificate in Eurhythmics

Purpose and Background

The main target student population for this Certificate is school music teachers, but eurhythmics training benefits all musicians and many others such as dancers, music therapists, and actors. There are three main approaches to teaching general music in the field of music education recognized by most music specialists. These approaches are the Orff Schulwerk, Kodaly Methods, and Dalcroze Eurhythmics. There are summer teacher training workshops in many higher education institutions for the first two approaches, but only very few in Eurhythmics, an approach to music education created by Emile Jaques-Dalcroze. The offering of Eurhythmics training at the University of Kentucky will answer to the demand for professional development opportunities for artists in this region, and perhaps would attract participants from overseas, especially from Asia where Eurhythmics is very well received. Our UK School of Music has implemented the Graduate Certificate in Orff Schulwerk for over ten years with good success as a gateway to our MM degree and Rank I studies. This Graduate Certificate in Eurhythmics will follow the Orff model.

The Graduate Certificate Director

The Director for the UK Graduate Certificate in Eurhythmics will be the main faculty for the general music courses, currently Dr. Cecilia Wang. The Graduate Certificate Associates will comprise of Cecilia Wang, PhD (Graduate Certificate Director), and David Sogin, PhD (Chair of the Music Education Division), and Michael Hudson, PhD (Faculty of Music Education).

Certificate Objectives

Objectives and competencies of this curriculum align with those of the American Eurhythmics Society (www.americaneurhythmics.org).

Student Learning Outcomes (SLO)

At the completion of this Graduate Certificate, students will be able to:

1. Demonstrate mastery of eurhythmics concepts.
2. Show facility in singing and identifying chromatic scales in the fixed-do system with sensitivity to intonation and expression, based on solfege principles.
3. Improvise music for movement at the piano or using other instruments.

4. Show expertise in designing instructional materials and lesson activities implementing the Dalcroze philosophy, pedagogic techniques, and skills for students of varying age groups.

The SLO will be assessed according to:

1. Competencies embedded for each course as indicated by course assignments, peer presentation, and lesson plans.
2. Student portfolio showing representative samples of the process and products of a project implementing the Dalcroze philosophy and pedagogic techniques.

Curriculum

The University of Kentucky Eurhythmics Certificate consists of 12 semester credit hours:

<p>MUS 662 Dalcroze Approach I (3 cr.)</p>	<p>This course is especially designed for music teachers who wish to acquire knowledge and skills in Dalcroze pedagogy and musicianship. There are two parts of this course: on-site participation and an online component. Students will be immersed in the principal subjects of the Dalcroze approach: eurhythmics, solfège, and improvisation. The on-site session provides creative experiences of hands-on activities and the online component covers assignments related to the philosophy, history, composition, lesson designs, and discussion of the Dalcroze approach in music education.</p>
<p>MUS 663 Dalcroze Approach II (3 cr.)</p>	
<p>MUS 668 Dalcroze Approach III (3 cr.)</p>	
<p>Each course level has different competencies. Students may repeat each course once. Students must complete each level in a successful manner prior to advancing to the next level, with approval of the course instructor.</p>	
<p>MUS 669 Individual Dalcroze Project (3 cr.)</p>	<p>This course is especially designed for music teachers who have acquired adequate knowledge and skills in Dalcroze pedagogy and musicianship and are ready to demonstrate independence in designing and completing an instructional or research project that exemplifies the Dalcroze approach. Each student is guided at a distance by the instructor at all phases of the project and carry out the study at his or her own school or location.</p>
<p>Pre-requisite: a) Successful completion of MUS 663 (or equivalence) and permission by instructor, <u>or</u> b) successful completion of MUS 668</p>	

Resources

No additional resources are needed at the current time.

The courses will be offered according to the need of the participants and can be flexible. Students must also participate in summer on-site workshops and pay a workshop fee in addition to regular tuition. Similar to the situation with the Orff Certificate, there should be enough revenue to support the visiting faculty based on workshop fees and credit tuition.

Admission Requirements and Application Procedures

Students must have completed a Bachelor's degree in music of any emphasis. Students can enroll in one of these categories: 1) Post-baccalaureate, non-degree status or towards Rank I teacher certification; 2) Candidates who have satisfied all admission requirements towards an MM degree may apply these courses towards the MM degree in music education; 3) Graduate students enrolled in other programs may use this as electives towards other graduate music program upon the approval of the students' advisor and the DGS.

Admission to the Graduate Certificate or award of the graduate certificate does not guarantee admission to any degree program at the University of Kentucky.

Graduate Certificate Completion Requirements

All course work for the Graduate Certificate must be completed within five years of admission and with a GPA of 3.0 or better at all times.

Award of the Graduate Certificate

Upon successful completion of the graduate certificate requirements, the Director shall send a completed, signed Graduate Certificate Completion Form and Certificate to the Dean of the Graduate School for verification and signature. The Graduate School will notify the Registrar for posting to the student's permanent transcript.

Benefits of the Graduate Certificate in Eurhythmics

For the Students

- Acquire expertise in an eclectic music approach in creative music teaching
- Better employment opportunities

For the College

- Provides training in eurhythmics for diverse disciplines in the region and beyond
- Enhances reputation with innovative curriculum in the arts

For the University of Kentucky and the Commonwealth of Kentucky

- Projects leadership in training in the arts
- Enhances career opportunities for teachers and artists in Kentucky

SIGNATURE ROUTING LOG

General Information:

Proposal Type: Course Program Other

Proposal Name¹ (course prefix & number, pgm major & degree, etc.): Graduate Certificate in Eurhythmics

Proposal Contact Person Name: Cecilia Wang Phone: 7-8203 Email: cecilia.wang@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
School of Music		John Scheib / 7-4900 / john.scheib@uky.edu	
College of Fine Arts		Anna Brzyski / 388-9899 / anna.brzyski@uky.edu	
		/ /	
		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision ²
Undergraduate Council			
Graduate Council		<i>Roshan Nikou</i>	
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

¹ Proposal name used here must match name entered on corresponding course or program form.

Ellis, Janie

From: Nikou, Roshan
Sent: Friday, January 23, 2015 3:31 PM
To: Brothers, Sheila C; Carvalho, Susan E; Ellis, Janie; Ett, Joanie M; Hippisley, Andrew R; Jackson, Brian A; Lindsay, Jim D.; Nikou, Roshan; Price, Cleo; Timoney, David M
Cc: Watkins, John; Fleming, Steve; Cardarelli, Kathryn; Diaz, Monica; Brzyski, Anna; Wang, Cecilia
Subject: Transmittals
Attachments: Program change PhD in Music Education-signed.pdf; Graduate Certificate in Eurhythmics rev-signed.pdf; Latino-signed.pdf; GC in BIOSTATISTICS Proposal-signed.pdf

TO: Andrew Hippisley, Chair and Sheila Brothers, Coordinator
Senate Council

FROM: Brian Jackson, Chair and Roshan Nikou, Coordinator
Graduate Council

Graduate Council approved the following proposals and is now forwarding them to the Senate Council to approve.

Programs and Certificates

PhD in Music Education

Graduate Certificate in Eurhythmics

Graduate Certificate in Latin American, Caribbean, and Latino Studies

Graduate Certificate in Biostatistics

Roshan Nikou

The Graduate School
The University of Kentucky
101 Gillis Building - 0033
Phone: (859) 257-1457
Fax: (859) 323-1928
Roshan.Nikou@uky.edu

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Monday, April 27, 2015 3:04 PM
To: Brothers, Sheila C; Hippisley, Andrew R
Subject: GC: Biostatistics
Attachments: Certificate in Biostatistics Proposal Apr 27.pdf

Proposed New Graduate Certificate: Biostatistics

This is a recommendation that the University Senate approve the establishment of a new Graduate Certificate: Biostatistics, in the Department of Biostatistics within the College of Public Health.

The revised proposal is attached.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of Mathematics Education | [STEM PLUS Program Co-Chair](#)
| [Department of STEM Education](#) | [University of Kentucky](#) | [www.margaretmohrschroeder.com](#)



UNIVERSITY OF KENTUCKY COLLEGE OF PUBLIC HEALTH

Proposal for a Graduate Certificate in Biostatistics

Purpose and Background

There is an increasing need for research-oriented health professionals who will be qualified to conduct population-based research and clinical trials in the next several decades. There has been an intense demand for scientifically trained (subject matter) data analysts who can address the issues in conducting studies which include large amounts of complex data. The neurosciences, surveillance, and computational biology are expected to be growth areas which will demand the complex, integrated skill set of a new group of professionals. The Graduate Certificate in Biostatistics (GCB) provides a mechanism for students admitted to the Graduate School to enhance their competencies and skills in biostatistics without undertaking a graduate degree. The GCB is uniquely different than other graduate certificates in statistics, i.e. the Graduate Certificate in Applied Statistics, in that the courses and audience will be focused on specific methodological issues in medical and health applications, e.g. statistical genetics, clinical trials, pharmacoepidemiology. The certificate will be accessible to students enrolled in the Graduate School and will be valuable to future researchers in a variety of fields of study.

The Graduate Certificate in Biostatistics (GCB) is a 15-credit hour graduate certificate that allows students studying in programs outside the Department of Biostatistics to learn a basic background in the design and analysis of biomedical studies. The courses included in this certificate will provide students with an introduction to methodological applications in public health and medical research; skills that will be necessary for completing quantitative components of research projects and attractive to future employers.

The most recent funding opportunity announcement for our Center for Clinical and Translational Science, explicitly asks for training in Biostatistics (with courses focused on the use of Biostatistics in translational science) through certificate programs. Biostatistics Certificate programs housed in Colleges or Schools of Public Health include the following:

University of Minnesota

<http://sph.umn.edu/programs/certificate/biostat/>

University of West Virginia

<http://publichealth.hsc.wvu.edu/academics/online-programs/applied-biostatistics-certificate/>

Oregon Health Sciences University

<http://www.ohsu.edu/xd/education/schools/school-of-medicine/departments/clinical-departments/public-health/education-programs/biostatistics-graduate-program/index.cfm>

University of Iowa

<http://www.public-health.uiowa.edu/certificate-in-biostatistics/>

Certificate Director and Faculty

Heather M Bush, PhD is an Associate Professor in the Department of Biostatistics, College of Public Health and serves as the Co-Director of the Applied Statistics Lab and CCTS Biostatistics, Epidemiology and Research Design Core. In an effort to provide resources beyond study design and data analysis, Dr. Bush also launched DATAQUeST (DATA QUality and STatistical programming) to provide investigators within and outside the University access to SAS

programmers, analysts, and data managers. The faculty of record for this certificate are the graduate faculty in the Department of Biostatistics, College of Public Health. These faculty include:

- Dr. Heather Bush, Associate Professor, Department of Biostatistics
- Dr. Richard Charnigo, Professor, Departments of Biostatistics and Statistics
- Dr. David Fardo, Associate Professor, Department of Biostatistics
- Dr. Richard Kryscio, Professor, Departments of Biostatistics (Chair) and Statistics
- Dr. Philip Westgate, Assistant Professor, Department of Biostatistics
- Dr. Brent Shelton, Professor, Department of Biostatistics, Division Chair of Cancer Biostatistics
- Dr. Li Chen, Assistant Professor, Department of Biostatistics, Division of Cancer Biostatistics
- Dr. Chi Wang, Assistant Professor, Department of Biostatistics, Division of Cancer Biostatistics
- Dr. Emily Van Meter, Assistant Professor, Department of Biostatistics, Division of Cancer Biostatistics

Certificate Objectives

- To prepare students to design and analyze biomedical studies.
- To identify appropriate statistical tests for comparisons in one or multiple samples
- To provide correct interpretations in testing and estimation paradigms
- To understand the use of different regression methods for investigating the association of risk factors and outcomes while controlling for confounding.

Curriculum

The Graduate Certificate in Biostatistics consists of 15 credit hours. Six credit hours are required (CPH 580 and CPH 630), and students must select an additional 9 credit hours from a variety of electives. Students will be required to complete 15 hours of coursework with no course grade lower than B to complete the curriculum. The current curriculum is:

Required Courses*

CPH 580	Biostatistics I	Descriptive statistics, hypothesis testing, paired and unpaired tests, ANOVA, contingency tables, log rank test, and regression with biostatistics applications. Prereq: MA 109 or equivalent. [STA 570 may be substituted for this course with permission of the certificate director]
CPH 630	Biostatistics II	Students will learn statistical methods used in public health studies. This includes receiver operator curves, multiple regression logistic regression, confounding and stratification, the Mantel-Haenzel procedure, and the Cox proportional hazardous model. Lecture, two hours; laboratory, two hours per week. Prereq: STA 580 or equivalent. (Same as STA 681.)

Elective Courses

CPH 631	Design and Analysis of Health Surveys	Students will learn design and analysis issues associated with well-known national health surveys, including reliability and validity of measurements, instrument validation, sampling designs, weighing of responses, and multiple imputations. Students will learn how to use statistical software to analyze data from complex survey designs. Lecture, two hours; laboratory, two hours per week. Prereq: STA 580 or equivalent.
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CPH 636	Data Mining in Public Health	This course concerns statistical techniques for and practical issues associated with the exploration of large public health data sets, the development of models from such data sets, and the effective communication of one's findings. Prereq: STA 570 or 580 and CPH 535, or consent of instructor.
CPH 664	Design and Analysis of Clinical Trials	This course will introduce the fundamental concepts used in the design of Phase I/II clinical trials and statistical methodology associated with trial data analysis. Prereq: STA 570 or permission of instructor

Elective Courses (cont'd)

BST 655	Introduction to Statistical Genetics	BST 655 presents an introduction to the statistical methodologies used today to investigate genetic susceptibility to complex diseases. The course focuses on linkage and association analysis with applications to real-world data. Commonly used (and freely available) software will be presented and used throughout. Because the field is constantly evolving, a focus of the material for this course will be recent statistical human genetics literature. Prereq: STA 580 or equivalent. (Same as STA 655.)
BST 761	Time to Event Analysis	Analysis of time to event data encountered in Public Health and Medicine. Survival distributions and hazard functions. Time to event analysis using Kaplan-Meier method and life-table method. Accelerated failure time model, logit model for discrete data, complimentary log-log model, and proportional hazards model. Tests for goodness-of-fit, graphical methods, and residual and influence statistics. Time- dependent covariates, non-proportional hazards, left truncation, and late entry into the risk set. Sample size and power, competing risks, and time to event analysis with missing data. Prereq: STA 580 or equivalent.
CPH 713	Pharmaco-epidemiology	This course will provide an overview of the field of pharmacoepidemiology and its relationship to health care research. Various topics including methodology and analytical issues relevant to the conduct of pharmacoepidemiologic research will be covered. Time will also be spent reviewing existing papers in the field of pharmacoepidemiology.

*Please note that these courses are shared with the Department of Statistics. These courses are also required in the Certificate of Applied Statistics. Both of these courses are currently taught by faculty with primary appointments in Biostatistics. The Department of Statistics is considered primary for STA 580 (Biostatistics I) but it is also cross-listed as CPH 580; the Department of Biostatistics is considered primary for CPH 630 (Biostatistics II) but it is also cross-listed as STA 681.

Students enrolled in the MPH program as Biostatistics concentrators must get prior approval of coursework by the Certificate Director, as no more than 3 credit hours of certificate electives can be used towards the completion of the MPH degree.

Resources Available

No additional resources are needed.

Admission Requirements and Application Procedures

To be considered for this certificate program candidates must be associated with the University of Kentucky in one of the following categories:

- Enrolled post baccalaureate or in a degree program and admitted to the graduate school.
- Enrolled in a professional degree program.
- A resident in the medical center.
- Admission to the curriculum will be subject to approval of the GCB committee and acceptance to the Graduate School.

Students enrolled in the Epidemiology and Biostatistics PhD program are not eligible for admission to the Graduate Certificate in Biostatistics.

Admission to the Graduate Certificate or award of the graduate certificate does not guarantee admission to any degree program at the University of Kentucky.

Graduate Certificate Completion Requirements

The Graduate Certificate curriculum involves a total of 15 graduate credit hours including 6 credit hours of required courses. All course work for the Graduate Certificate must be completed within five years of admission. Graduate Certificate students must maintain a GPA of 3.0 or better to progress in the curriculum.

Award of the Graduate Certificate

When a student enrolled in the UK Graduate School has successfully completed the last required course and has satisfied the GPA and grade requirements, the Director shall send a completed, signed Graduate Certificate Completion Form to the Dean of the Graduate School verifying that the student has fulfilled all requirements for the Certificate and requesting award thereof. The Graduate School shall then issue the student's certificate and officially notify the University Registrar of the awarding of the Certificate for posting to the student's permanent transcript.

Program assessment

The Graduate Certificate in Biostatistics (GCB) will be assessed both quantitatively and qualitatively. First, with respect to quantitatively, we will yearly assess the number of new applications to the GCB. We conservatively hope to have at least **10** new enrollees each year, with the exception of the first year or two when the certificate is new. Furthermore, we will yearly assess the number of certificates awarded. Measures of success include a completion rate (within 3 years of initiating the certificate) of at least 85%. We will additionally measure time to completion of the certificate, courses most frequently enrolled in by certificate students, and courses requested to meet certificate requirements. These assessments will serve to improve course offerings and may facilitate the development of additional courses. Finally, the College of Public Health performs a self-study and assesses programs and courses for accreditation (CEPH). Assessment of curriculum for this certificate will coincide with those initiatives.

If the GCB is consistently not meeting our enrollment goals, we will convene an external panel consisting of faculty in Health Sciences, Pharmacy, Medicine, Public Health, Center for Health Services Research, and Center for Clinical and Translational Science to help identify potential students and improvements to the offerings (e.g. course times, delivery modes) of the GCB. Furthermore, this will allow us to determine if there are any research programs at the University of Kentucky that under-utilize the GCB, thus requiring more targeted advertising of the GCB.

Student Learning Outcomes and Assessment

The certificate objectives will serve as the learning outcomes as provided in the curricular map below, and assessment will be at the class-level using course-embedded assessments (e.g. exams, data analysis projects, written and oral reports, clinical protocols) with a requirement of having no course grade lower than B.

Courses	Student Learning Outcomes
Required Courses	
CPH 580 Biostatistics I	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms.
CPH 630 Biostatistics II	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms. To understand the use of different regression methods for investigating the association of risk factors and outcomes while controlling for confounding.
Elective Courses	
CPH 631 Design and Analysis of Health Surveys	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms. To understand the use of different regression methods for investigating the association of risk factors and outcomes while controlling for confounding.
CPH 636 Data Mining in Public Health	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms. To understand the use of different regression methods for investigating the association of risk factors and outcomes while

	controlling for confounding.
CPH 664 Design and Analysis of Clinical Trials	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms.
BST 655 Introduction to Statistical Genetics	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms. To understand the use of different regression methods for investigating the association of risk factors and outcomes while controlling for confounding.
BST 761 Time to Event Analysis	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms. To understand the use of different regression methods for investigating the association of risk factors and outcomes while controlling for confounding.
CPH 713 Pharmaco-epidemiology	To prepare students to design and analyze biomedical studies. To identify appropriate statistical tests for comparisons in one or multiple samples. To provide correct interpretations in testing and estimation paradigms. To understand the use of different regression methods for investigating the association of risk factors and outcomes while controlling for confounding.

Benefits of the Graduate Certificate in Biostatistics

For Students

- Enhanced employment and research opportunities
- Provides the opportunity to obtain formal training in biostatistics without pursuing a terminal degree.

For The College

- Provides recognition for ongoing efforts of both faculty and students in the area of Biostatistics
- Provides greater interdisciplinary interactions from areas outside of Public Health

For the University of Kentucky and the Commonwealth of Kentucky

- Provides appropriate relevant educational experiences in Biostatistics to enhance the health and welfare of Kentuckians.

- Provides enhanced career opportunities for graduates in Kentucky.
- Strengthens UK's reputation as an institution that values and actively fosters high quality, relevant education and training that serves the multi-factorial needs of the Commonwealth, the nation, and the world.
- Provides a pool of appropriately trained quantitative researchers some of whom may pursue terminal degrees in public health.
- Enhances the reputation of UK throughout the state, nation, and world as graduates improve their ability to evaluate and analyze within a quantitative framework.



Department of Statistics
311 Multidisciplinary Science Building
725 Rose Street
Lexington, KY 40536-0082
859 257-6115
fax 859 323-1973
www.statistics.uky.edu

April 24, 2015

Heather Bush
Associate Professor
Dept. of Biostatistics
CAMPUS

Dear Dr. Bush,

I am pleased to write this letter of support for your graduate certificate in Biostatistics. My only suggestion is that you formally allow STA 570 or STA 580 to count for CPH 580. This will allow student to choose between the graduate certificate in Applied Statistics and the Biostatistics certificate after taking the first course.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Arnold J. Stromberg', written over a blue diagonal line that extends from the top left towards the bottom right.

Dr. Arnold J. Stromberg
Professor and Chair
Department of Statistics
University of Kentucky

SIGNATURE ROUTING LOG

General Information:

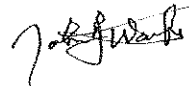

Proposal Name: Graduate Certificate in Biostatistics

Proposal Contact Person Name: Andrea Perkins Phone: 218-2021 Email: andrea.perkins@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Academic Affairs Committee	10/9/2014	John Watkins/218-0240/john.watkins@uky.edu	
Faculty Council	10/27/2014	Steve Fleming/218-2229/steven.fleming@uky.edu	
Academic Dean-Public Health	11/3/2014	Kathryn Cardarelli/218-0241/Kathryn.cardarelli@uky.edu	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision ⁶
Undergraduate Council			
Graduate Council		<i>Roshan Nikou</i>	
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

⁶ Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

Ellis, Janie

From: Nikou, Roshan
Sent: Friday, January 23, 2015 3:31 PM
To: Brothers, Sheila C; Carvalho, Susan E; Ellis, Janie; Ett, Joanie M; Hippisley, Andrew R; Jackson, Brian A; Lindsay, Jim D.; Nikou, Roshan; Price, Cleo; Timoney, David M
Cc: Watkins, John; Fleming, Steve; Cardarelli, Kathryn; Diaz, Monica; Brzyski, Anna; Wang, Cecilia
Subject: Transmittals
Attachments: Program change PhD in Music Education-signed.pdf; Graduate Certificate in Eurhythmics rev-signed.pdf; Latino-signed.pdf; GC in BIostatistics Proposal-signed.pdf

TO: Andrew Hippisley, Chair and Sheila Brothers, Coordinator
Senate Council

FROM: Brian Jackson, Chair and Roshan Nikou, Coordinator
Graduate Council

Graduate Council approved the following proposals and is now forwarding them to the Senate Council to approve.

Programs and Certificates

PhD in Music Education

Graduate Certificate in Eurhythmics

Graduate Certificate in Latin American, Caribbean, and Latino Studies

Graduate Certificate in Biostatistics

Roshan Nikou

The Graduate School

The University of Kentucky

101 Gillis Building - 0033

Phone: (859) 257-1457

Fax: (859) 323-1928

Roshan.Nikou@uky.edu

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Monday, April 27, 2015 10:32 AM
To: Brothers, Sheila C; Hippisley, Andrew R
Subject: UG Certificate: Directing Forensics
Attachments: Directing Forensics UG Certificate 04242015 (1).pdf

Proposed New Undergraduate Certificate in Directing Forensics

This is a recommendation that the University Senate approve the establishment of a new Undergraduate Certificate: Directing Forensics, in the School of Library and Information Science within the College of Communication and Information.

The revised proposal is attached.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of Mathematics Education | [STEM PLUS Program Co-Chair](#)
| [Department of STEM Education](#) | [University of Kentucky](#) | www.margaretmohrschroeder.com



PROPOSAL FOR NEW UNDERGRADUATE CERTIFICATE

An Undergraduate Certificate is an integrated group of courses (as defined here 12 or more credits) that are 1) cross-disciplinary, but with a thematic consistency, and 2) form a distinctive complement to a student’s major and degree program, or 3) leads to the acquisition of a defined set of skills or expertise that will enhance the success of the student upon graduation. Undergraduate Certificates meet a clearly defined educational need of a constituency group, such as continuing education or accreditation for a particular profession; provide a basic competency in an emerging area within a discipline or across disciplines; or respond to a specific state mandate.

After the proposal receives college approval, please submit this form electronically to the Undergraduate Council. Once approved at the academic council level, the academic council will send your proposal to the Senate Council office for additional review via a committee and then to the Senate for approval. Once approved by the Senate, the Senate Council office will send the proposal to the appropriate entities for it to be included in the Bulletin. The contact person listed on the form will be informed when the proposal has been sent to committee and other times, subsequent to academic council review.

Please click [here](#) for more information about undergraduate certificates.

1. GENERAL INFORMATION						
1a	Undergraduate Certificate Home:	Department <input type="checkbox"/>	OR	College <input type="checkbox"/>	OR	Other <input checked="" type="checkbox"/>
	If “Other,” please explain:	<i>The School of Library and Information Science within the College of Communication and Information</i>				
1b	Name of hosting academic unit:	<i>School of Library and Information Science</i>				
1c	Proposed certificate name:	<i>Undergraduate Certificate in Directing Forensics</i>				
1d	CIP Code ¹ , primary discipline:					
	CIP Code for other disciplines:					
1e	Requested effective date:	<input checked="" type="checkbox"/> Semester after approval.	OR	<input type="checkbox"/> Specific Date ² :		
1f	Contact person name:	<i>Will Buntin</i>	Email:	<i>will.buntin@uky.edu</i>	Phone:	<i>859-257-3317</i>
2. OVERVIEW						
2a	Provide a brief description of the proposed new certificate. (300 word limit)	<i>The Division of Instructional Communication and Research proposes offering an undergraduate certificate that will prepare students to teach and coach competitive forensics at the middle school, high school, and collegiate levels and serve the growing demand for forensics coaches. Currently, over 300 colleges and universities sponsor this activity at the state, regional, and national level. Over 100,000 students and 3,500 coaches also compete annually in high school competitions across the nation. This certificate would serve both current undergraduate students who wish to enhance their ability to teach public speaking and post-</i>				

¹ You must contact the Office of Institutional Effectiveness prior to filling out this form (257-2873 | institutionaleffectiveness@uky.edu). The identification of the appropriate CIP code(s) is required for college-level approval and should be done in consultation with the Undergraduate Council Chair and Registrar.

² Certificates are typically made effective for the semester following approval. No program will be made effective unless all approvals, up through and including University Senate approval, are received.

PROPOSAL FOR NEW UNDERGRADUATE CERTIFICATE

	<p><i>baccalaureates seeking additional training or continuing education credits.</i></p> <p><i>Through an applied curriculum, this certificate will prepare students to immediately enter forensics classrooms as coaches and educators. Over the series of four courses, students will learn how to teach and coach public speaking and debate events, facilitate competitive tournaments, recruit team members, fundraise, and administer forensics teams from the middle school to college level. Students will also have multiple opportunities to directly observe and take part in forensics competition at the University of Kentucky which will allow them to gain valuable real world experience before entering the workforce.</i></p> <p><i>This certificate meets the University of Kentucky's requirement that undergraduate certificate lead "to the acquisition of a defined set of skills or expertise that will enhance the success of the student upon graduation." Coaching competitive forensics requires a specialized set of skills that is currently not offered by any academic program at the University of Kentucky. Thus, this program will fill a void for educating individuals who seek to develop and improve their abilities to teach and coach competitive speech and debate. Because of the appeal to diverse audiences and a focus on applied skills, a certificate program is the most logical vehicle for offering this curriculum.</i></p>
2b	<p>This proposed certificate (check all that apply):</p>
	<p><input checked="" type="checkbox"/> Is cross-disciplinary³.</p>
	<p><input type="checkbox"/> Is certified by a professional or accredited organization/governmental agency.</p>
	<p><input checked="" type="checkbox"/> Clearly leads to advanced specialization in a field.</p>
	<p>This certificate includes courses from two different disciplines - Instructional Communication and Information Studies.</p>
2c	<p>Affiliation. Is the certificate affiliated with a degree program? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
	<p>If "yes," include a brief statement of how it will complement the program. If it is not affiliated with a degree program, incorporate a statement as to how it will provide an opportunity for a student to gain knowledge or skills not already available at UK. (300 word limit)</p>
	<p><i>While courses exist at the University of Kentucky that teach students how to speak in public and form rational arguments, no courses exist that train students to teach these concepts themselves. Learning to coach competitive public speaking and debate are a unique skillset. Additionally, no courses are offered at UK that expose students to oral interpretation or the responsibilities and duties of administering a competitive forensics team. This certificate would meet all four of these needs and prepare students to enter this expanding career field. Because this curriculum spans topics ranging from communication to education, English, performance studies, and critical thinking, a cross-disciplinary undergraduate certificate is the most logical choice for this program.</i></p>
2d	<p>Demand. Explain the need for the new certificate (e.g. market demand and cross-disciplinary considerations). (300 word limit)</p>
	<p><i>Presently, no program exists at the University of Kentucky to train future educators in the skills they would need to coach competitive speech and debate. As previously mentioned, over 100,000 high school students and thousands of undergraduates compete in some form of forensics competition. To be successful, each of these teams requires at least one competent and trained coach. The commonwealth of Kentucky features extensive competition at all levels of education from middle school to college. However there is no program within the state that can train individuals to coach these teams. The University of Kentucky has a unique opportunity to step into this void and meet this educational need. The attached letters of support highlight the statewide desire for this undergraduate certificate program.</i></p> <p><i>Students from a variety of majors at the University of Kentucky would be interested in this certificate. This</i></p>

³ An undergraduate certificate must be cross-disciplinary and students must take courses in at least two disciplines, with a minimum of three credits to be completed in a second discipline.

PROPOSAL FOR NEW UNDERGRADUATE CERTIFICATE

program would support Communication, Education, and English majors, minors, and students who wish to demonstrate an ability to teach and coach forensic events at the middle school, high school, and collegiate levels. Additionally, post-baccalaureates who wish to receive additional training in this area would be able to complete this certificate as part of any continue education credits offered by their institution.

2e Target student population. Check the box(es) that apply to the target student population.

Currently enrolled undergraduate students.

Post-baccalaureate students.

2f Describe the demographics of the intended audience. *(150 word limit)*

The audience for this certificate includes both undergraduates and post-baccalaureates (community professionals) who plan to pursue a career in middle school, high school, or collegiate education and current forensics coaches who wish to further develop their coaching abilities. Students from a variety of majors at UK will be interested in this certificate including communication, education, English, and fine arts.

2g Projected enrollment. What are the enrollment projections for the first three years?

	Year 1	Year 2 (Year 1 continuing + new entering)	Year 3 (Yrs. 1 and 2 continuing + new entering)
Number of Students	20	40	60

2h Distance learning (DL). Initially, will any portion of the undergraduate certificate be offered via DL? Yes No

If "Yes," please indicate below the percentage of the certificate that will be offered via DL.

1% - 24% 25% - 49% 50% - 74% 75 - 99% 100%

If "Yes," describe the DL course(s) in detail, including the number of required DL courses. *(200 word limit)*

The Information Sciences course, IS 200 Information Literacy and Critical Thinking, is offered online as part of the Information Sciences minor. As this course is required for the Directing Forensics certificate, students will have the option of completing it online. This course is part of the cross-disciplinary nature of this certificate program.

3. ADMINISTRATION AND RESOURCES

3a Administration. Describe how the proposed certificate will be administered, including admissions, student advising, retention, etc. *(150 word limit)*

The proposed certificate will be administer by the certificate director in the Division of Instructional Communication and Research. As part of the College of Communication and Information, resources such as advising and retention will be handled in cooperation with the Associate Dean for Undergraduate Affairs. Admissions will be handled by the certificate director.

3b Resources. What are the resource implications for the proposed certificate, including any projected budget needs? If multiple units/programs will collaborate in offering this certificate please discuss the resource contribution of each participating program. Letters of support must be included from all academic units that will commit resources to this certificate. Convert each letter to a PDF and append to the end of this form. *(300 word limit)*

PROPOSAL FOR NEW UNDERGRADUATE CERTIFICATE

	<i>No additional financial or human resources will be required to offer this certificate program.</i>	
3c	<p>Faculty of Record. The Faculty of Record consists of the certificate director and other faculty who will be responsible for planning and participating in the certificate program. Describe the process for identifying the certificate director. Regarding membership, include the aspects below. <i>(150 word limit)</i></p> <ul style="list-style-type: none"> • Selection criteria; • Whether the member is voting or non-voting; • Term of service; and • Method for adding/removing members. 	
	<i>The faculty of record will consists of all instructors utilized for the instruction of required certificate courses. To be a voting member, the instructor must be a full-time faculty member in the Division of Instructional Communication and Research or other academic unit at UK or the Director of Forensics. Each member will serve for two years. The director will be appointed by the Director of the School of Library and Information Science with advise and consent of the program coordinator for Instructional Communication and Research and the Director of Forensics. The certificate director will also serve a two year term.</i>	
3d	Advisory board. Will the certificate have an advisory board ⁴ ?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	If “Yes,” please describe the standards by which the faculty of record will add or remove members of the advisory board. <i>(150 word limit)</i>	
	If “Yes,” please list below the <u>number</u> of each type of individual (as applicable) who will be involved in the advisory board.	
		Faculty within the college who are within the home educational unit.
		Faculty within the college who are outside the home educational unit.
		Faculty outside the college who are within the University.
		Faculty outside the college and outside the University who are within the United States.
		Faculty outside the college and outside the University who are outside the United States.
		Students who are currently in the program.
		Students who recently graduated from the program.
		Members of industry.
		Community volunteers.
		Other. Please explain:
		Total Number of Advisory Board Members
4. SUPPORT AND IMPACT		
4a	<p>Other related programs. Identify other related UK programs and certificates and outline how the new certificate will complement these existing UK offerings. Statements of support from potentially-affected academic unit administrators need to be included with this proposal submission. Convert each statement to a PDF and append to the end of this form. <i>(250 word limit)</i></p>	
	<i>As this certificate focuses on training future educators, the offerings will be most appealing to undergraduates in the College of Education. As such, a letter of support is attached to this certificate application.</i>	

⁴ An advisory board includes both faculty and non-faculty who advise the faculty of record on matters related to the program, e.g. national trends and industry expectations of graduates.

PROPOSAL FOR NEW UNDERGRADUATE CERTIFICATE

4b	External course utilization support. You must submit a letter of support from each appropriate academic unit administrator from which individual courses are taken. Convert each letter to a PDF and append to the end of this form.
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5. ADMISSIONS CRITERIA AND CURRICULUM STRUCTURE

5a	Admissions criteria. List the admissions criteria for the proposed certificate. <i>(150 word limit)</i>
	<i>Students must have and maintain a 2.0 GPA, have completed at least 30 hours of undergraduate course credit, and be in good standing with the University to be admitted into the certificate program.</i>

5b	Curricular structure. Please list the required and elective courses below.
----	---

Prefix & Number	Course Title	Credit Hrs	Course Status ⁵
IS 200	Information Literacy and Critical Thinking	3	Existing
ICR 384	Teaching and Coaching Public Address	3	New
ICR 385	Teaching and Coaching Oral Interpretation (ELECTIVE)	3	New
ICR 386	Teaching and Coaching Competitive Debate (ELECTIVE)	3	New
ICR 387	Directing Forensics	3	New
			Select one....
			Select one....
			Select one....
			Select one....
			Select one....
			Select one....
Total Credit Hours:		12	

5c	Are there any other requirements for the certificate? If "Yes," note below. <i>(150 word limit)</i>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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In addition to completing the required credit hours listed above, each student will need to complete a final portfolio that summarizes their experiences in each course. This portfolio will demonstrate their proficiency in each area of forensics competition.

5d	Is there any other narrative about the certificate that should be included in the Bulletin? If "Yes," please note below. <i>(300 word limit)</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
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6. ASSESSMENT

6a	Student learning outcomes. Please provide the student learning outcomes for this certificate. List the knowledge, competencies, and skills (learning outcomes) students will be able to do upon completion. (Use
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⁵ Use the drop-down list to indicate if the course is an existing course that will not be changed, if the course is an existing course that will be changed, or if the course is a new course.

PROPOSAL FOR NEW UNDERGRADUATE CERTIFICATE

	action verbs, not simply “understand.”) (250 word limit)
	<p><i>Students will be able to:</i></p> <ol style="list-style-type: none"> 1.) <i>demonstrate the ability to teach and coach a variety of forensics activities including public address, limited-preparation, oral interpretation, and debate events</i> 2.) <i>administer a forensics team including creating a budget, assembling a travel schedule, developing recruitment and fundraising plans, and managing the public relations of a new team.</i> 3.) <i>facilitate and tabulate a competitive forensics tournament</i> 4.) <i>adjudicate competitive forensics events and give meaningful feedback to their students</i>

6b	<p>Student learning outcome (SLO) assessment. How and when will student learning outcomes be assessed? Please map proposed measures to the SLOs they are intended to assess. Do not use grades or indirect measures (e.g. focus groups, surveys) as the sole method. Measures might include the aspects below. (300 word limit)</p> <ul style="list-style-type: none"> • Course-embedded assessment (capstone project, portfolios, research paper); and • Test items (embedded test questions, licensure/certification testing, nationally or state-normed exams).
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	<p><i>The four learning objectives for this certificate will be measured first using student portfolios. These portfolios allow students to demonstrate their ability to meet the course objectives and provide them will a tangible asset when applying for future forensic educator positions. Additionally, student learning outcomes will be assessed by in and out of class experiences with forensics including UK's own forensics team. By completing these courses with a 'C' or better, students will have demonstrated their proficiency in coaching competitive public speaking and debate. Please see the attached student rubrics for required and elective certificate courses.</i></p>
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6c	<p>Certificate outcome assessment⁶. Describe program evaluation procedures for the proposed program. Include how the faculty of record will determine whether the program is a success or a failure. List the benchmarks, the assessment tools, and the plan of action if the program does not meet its objectives. (250 word limit)</p>
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	<p><i>The program will be evaluated in two ways. First, student portfolios will be assessed as they meet each of the four desired student learning outcomes (see attached Portfolio Guidelines and corresponding Student Learning Outcome Assessment Rubrics). Second, the program will be assessed based on student enrollment and certificate completion rates, TCE course evaluations, exit interviews, and alumni surveys (see Program Assessment Rubric). These data points will also shape the plan of action if the program fails to meet all of the stated benchmarks.</i></p>
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7. APPROVALS/REVIEWS

Information below about the review process does not supersede the requirement for individual letters of support.

	Reviewing Group Name	Date Approved	Contact Person Name/Phone/Email
7a	(Within College)		
	<i>School Council - School of Library and Information</i>	<i>11/15/13</i>	<i>Jeff Huber / / jeffrey.huber@uky.edu</i>

⁶ This is a plan of how the certificate will be assessed, which is different from assessing student learning outcomes.

PROPOSAL FOR NEW UNDERGRADUATE CERTIFICATE

	<i>Science</i>		
	<i>Faculty Council - College of Communication and Information</i>	<i>1/27/14</i>	<i>Dan O'Hair / / ohair@uky.edu</i>
			/ /
			/ /
7b	(Collaborating and/or Affected Units)		
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			/ /
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7c	(Senate Academic Council)	Date Approved	Contact Person Name
	Health Care Colleges Council (if applicable)	3/31/15	Joanie Ett-Mims
	Undergraduate Council		




School of Library and
Information Science
320 Little Library Building
Lexington, KY 40506-0224

859 257-8876
fax 859 257-4205

www.uky.edu/CommInfoStudies/SLIS/

To: H. Dan O'Hair, Dean
College of Communication and Information

From: Jeff Huber, Director 
School of Library and Information Science

Date: January 20, 2015

Re: IS/ICR courses to support Director Forensics Certificate

As Director of the School of Library and Information Science, I write in support of including the following courses in the proposed Director Forensics Certificate program:

IS 200: Information Literacy and Critical Thinking
ICR 384: Teaching and Coaching Public Address
ICR 385: Teaching and Coaching Oral Interpretation
ICR 386: Teaching and Coaching Competitive Debate
ICR 387: Director Forensics

All five of these courses are offered by programs housed in the School of Library and Information Science.



Dr. Ben Withers
Associate Provost for Undergraduate Education
c/o Sharon Gill
217 Funkhouser Building
University of Kentucky
Lexington KY 40506

Associate Provost Withers,

This letter is written to formally express enthusiastic support for the School Information and Library Sciences Department in the College of Communication and Information's proposed new certificate program titled "Directing Forensics." Competitive public speaking, or "forensics," is among the most widely engaged extracurricular activities in U.S. schools, including events such as argumentation, debate, oral interpretation, and other modes of oral language performance and communication related to literary, dramatic, and informational texts. According to prominent international education organizations such as the Partnership for 21st Century skills, the Common Core State Standards Initiative, and the National Council of Teachers of English, SISL's proposed certificate program will strongly fulfill requirements for educating and producing teachers and students who are able to collaborate and communicate in creative ways that involve critical thinking. Such a program will be an invaluable option for students in the university's Secondary English Education Programs, housed in the College of Education's Department of Curriculum and Instruction. Across our undergraduate and graduate programs, Secondary English Education has approximately 150 students enrolled annually who would benefit from this new offering.

Directing Forensics will provide a robust and coherent curriculum for teacher candidates who seek to become Speech teachers and Speech/Forensics Coaches in particular, but it will also be of extreme benefit for candidates who seek to teach English language arts in general. Because of the clinical, applied design of the courses that will comprise the new certificate program, candidates in English Education will gain the opportunity to become educated so that they are highly skilled and experienced practitioners of the



communication skills required for teaching Speech, a key element in English language arts curriculum. More significantly, the new certificate will explicitly guide candidates to not only demonstrate and teach those skills generally, but also systematically enable them to design courses and extracurricular programs that are successful and sustainable. Perhaps even more importantly, the Directing Forensics certificate would provide teacher candidates from English education and beyond to acquire conceptual, practical, and applied experiences that will increase their quality and capacity as teachers by providing them with the kinds of performance and design experiences that are required to operate successfully in any classroom with diverse groups of students.

If the Directing Forensics Certificate Program is approved, the Secondary English Education Program will actively seek to incorporate it as a formal option in its own curriculum. Our faculty fully supports this proposal as currently written and wishes to express its deepest appreciation to the faculty members in the College of Communication and Information for designing such a well-conceived, coherent, and vigorous program like this one. It will enhance a vitally important aspect of English language arts and Communications as fields overall. We whole-heartedly endorse the proposal and hope to offer it to our majors as soon as possible. Sincerely,

Leslie David Burns, Associate Professor of Literacy
Program Chair of English Education
Department of Curriculum and Instruction
College of Education
313 Dickey Hall
859-257-2939
L.burns@uky.edu



Curriculum & Instruction
317 Dickey Hall
Lexington, KY 40506-0017

859 257-7399
fax 859 257-1602
www.uky.edu

Dr. Deanna Sellnow
Division of Instructional Communication and Research
310J Lucille Caudill Little Fine Arts Library
Lexington, KY 40506

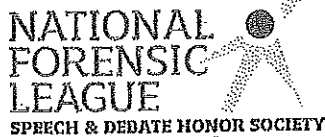
Dear Dr. Sellnow,

This letter is in support of the proposed undergraduate certificate program entitled *Directing Forensics*. The proposed certificate program would provide middle and secondary level pre-service and in-service educators the opportunity to attain the knowledge and skills required to help prepare and coach students as they engage in competitive public speaking and debate activities. Participation in debate teams and public speaking are common activities offered in many of the schools and districts in which our education majors seek employment. The ability to complete a certificate program in this area will provide additional opportunities and skill sets for our students to enter a competitive marketplace as new teachers. On behalf of the Department of Curriculum & Instruction, it is my pleasure to support this proposal.

Sincerely,

A handwritten signature in cursive script that reads 'Laurie A. Henry'.

Laurie A. Henry, Ph.D.
Interim Department Chair
Curriculum & Instruction
lauriehenry@uky.edu



November 7, 2013

Dr. Deanna Sellnow, Director
Division of Instructional Communication and Research
College of Communication and Information
310J Lucille Caudill Little Fine Arts Library
University of Kentucky
Lexington, KY 40506-0224

Dear Dr. Sellnow,

I am writing to express my support for your efforts to establish a Directing Forensics certificate at the University of Kentucky. As the leader of the largest interscholastic speech and debate organization in the United States, the National Forensic League, I can attest to the need for quality educational opportunities for new and existing forensic directors and coaches.

Speech and debate produces improvements in academic performance that prepare students to excel in college. Forensics also gives students the social and academic confidence they need to grow as individuals, achieve educational goals, pursue meaningful work, and contribute to the community. But students only have access to these benefits if there is a willing and capable leader—a forensic advisor and coach—at their school.

Your certificate program will help ensure that students in high schools across Kentucky have access to a committed, competent coach, and that the teachers and coaches who are already involved in the activity have a means to improve their skills and connect with their peers.

Come summertime, I hope to learn that your certificate program is underway and to begin hearing about the success stories it creates.

In sincere appreciation of your work,

J. Scott Wunn
Executive Director



Kentucky High School
Speech League, Inc.
KHSSL



310 Lucille Caudille Library
University of Kentucky
Lexington, KY 40506-0224

10 November 2013

Dr. Deanna Sellnow, Director
Division of Instructional Communication and Research
College of Communication and Information
310J Lucille Caudill Little Fine Arts Library
University of Kentucky
Lexington, KY 40506-0224

Michael Robinson, President
William M. Cooper IV, Executive Director
Coachdeb8@gmail.com
973.615.8497

Dear Dr. Sellnow:

I write in strong support for the proposed Certificate in Directing Forensics. I believe that the proposal will provide strong support for the League. It would help ensure the success—both educational and competitive—of the League's teams and students both now and into the coming decades.

The Kentucky High School Speech League is blessed with some of the ablest and most dedicated forensics coaches in the nation, and the success of our students is testimony to those qualities. Having the proposed certificate available would allow our current coaching cohort to extend their talents and enhance their students' success both here in the Commonwealth as well as around the nation.

We also have a strong group of up-and-coming younger coaches who are still growing and developing into the forensics educators of the next few decades. This certificate would enable them rapidly to bring their teams success and ensure the benefits of forensic education for their students.

Finally, we have to recognize that our activity depends on the presence of dedicated coaches and, as people retire from coaching, we will need new coaches to fill their shoes. The foundation provided by the proposed certificate would enable them both to coach and manage effectively from Day One.

Finally, the Certificate would provide a credential to connect to the educational legitimacy of our activity. It would assist our coaches and this League to raise the visibility of forensic education and, ideally, help our programs and coaches receive greater support of all kinds from their schools.

Thanking you for your continued support for the League,
I remain,

Very sincerely yours,

Wm. M. Cooper IV
Executive Director



December 2013

To Whom It May Concern:

This letter is a nod of support for the proposed offerings at the University of Kentucky concerning speech and debate coaching certifications and endorsements. I am the head speech and debate coach at Danville High School and am also the coach currently serving with the longest tenure: everyone else now coaching started after I did. I therefore, as a veteran, feel very qualified to explain the need for this academic offering and am glad for the opportunity to do so.

In many states, speech and debate teachers must obtain particular and specialized certifications to teach these subjects. Not so in Kentucky. Due to our expansive Language Arts certificate, anyone with a Language Arts certification may teach English, speech, drama, debate, or journalism at the middle or high school level. While this flexibility makes hiring teachers much simpler for schools, it has also watered down the discipline in-state. While there are certainly many fine teachers in these subjects who don't happen to have specific degrees in them, most teachers teaching these subjects are simply doing the best they can with limited training. They may feel comfortable in the worlds of words, but their formal training tends to be in literature and education. Offering these opportunities to Kentucky's teachers and teachers-to-be will do nothing but advance the integrity of our disciplines.

I also note that our state has no or next-to-no offerings in these areas. In 2006 I was hired for the PRAXIS Speech Communication National Advisory Committee for the Educational Testing Service to help rewrite the national exam for Speech Education. Our Commonwealth allows stand-alone certification in Speech with a teaching major or minor in the discipline, though few people have it as few jobs exist in the state for all Speech. I was eligible to apply because Thomas More College offered Speech Education certification; at that time, it was the only college or university in Kentucky that did so. In the years since, given state budget reductions, I sincerely doubt other colleges have added it. The usual suspects, WKU and Morehead, do not, I know. This certification is therefore a need the University of Kentucky can fill. I foresee these classes being taken by students from numerous colleges and transferred to their home institutions as well as by UK students at the undergraduate and graduate levels. As the flagship university for the state, it seems proper that UK be the central hub for this training.

Additionally, the University of Kentucky has already shown leadership in speech/debate education in-state with its return to hosting the Kentucky High School Speech League and its state tournaments plus its co-sponsorship (with the Kentucky National Forensic League) of SPEAK (Speech Professional Education Alliance of Kentucky), a now-annual conference and workshop for speech and debate educators.

So please, allow me to shout a huzzah and a ringing endorsement for the new plan to offer training for speech and debate educators. Our teachers and students thank you.

Yours truly,

Steve Meadows, Danville High School

DANVILLE HIGH SCHOOL

203 E. Lexington Avenue ~ Danville, KY 40422 ~ 859-936-8400 ~ fax 859-936-8401
Aaron Etherington, Principal www.danvilleschools.net/dhs

Harrison County Middle School



269 Education Drive • Cynthiana, KY 41031 • Office (859) 234-7123 • Fax: (859) 234-8385

Harrison County Middle School
269 Education Drive
Cynthiana, KY 41031

To Whom It May Concern:

I wanted to enlighten you on the impact of changing students' lives if you endorsed the University of Kentucky's proposal to create a Forensics program to help train teachers to coach/teach forensics.

I am quickly realizing the drastic change in our youth's inability to communicate effectively. In high school, I was blessed to be able to take a Speech class that equipped me with the skills of communicating in front of an audience. This class gave me the support I needed to follow my career path of becoming an educator. I was also a part of the speech/forensics team and traveled to many different high schools for competition on the weekend. Little did I know that this was preparing me for the work force where I would have to be regimented in rising early to go off to work on a daily basis. I cannot begin to tell you how speech and forensics changed my life. I am sure that everyone had something that they said changed their lives in high school, be it the football team, the soccer team, cheerleading, academic team.

What I find most disturbing, however, is that as an administrator, I am finding that the teachers we are currently training in higher education know little about taking on extra curricular activities. It would be wonderful to have a program that would help teachers learn how to put together and coach a forensics team. Perhaps this would give every child in every public school the opportunity to learn how to effectively communicate.

I could not be more supportive of UK's willingness to develop this program. Please think deeply about endorsing the program and allowing this to reach out to hundreds of students whose lives could change forever.

I would be willing to share more information with you if you need it. Please do not hesitate calling me at 859-234-7533.

Sincerely,

A handwritten signature in cursive script that reads "Robin Glascock".

Robin Glascock
Assistant Principal at Harrison County Middle School

Michael E. McIntire, Principal

The need for Forensics in schools has never been more important than right now. In a world where technology is becoming the only form of communication and text messages is the normal way to communicate. Our students are born and they have technology at their fingertips. In the 7 years I have been teaching and coaching Forensics I have helped to foster a culture at my middle school that shows that speaking and acting are important. My life would be empty without Forensics. I have held Forensics very near and dear to my heart since my own time as a student in Forensics from Middle school to High school.

Forensics is the structure on which I build my class curriculum. I believe the ethics and values the students learn will benefit them for their lifetime. They will forever remember what they have learned from Forensics and be able to apply it to their lives forever. They will be the top of their class, the student body leaders, and they will be the class speakers that leave a positive mark everywhere they go.

If I had the chance to earn a certificate in "Directing Forensics" I would feel that all my work has been validated. Public speaking is the number one fear in most adults. I can safely say that the students on my team continually grow leaps and bounds in their listening, writing, and speaking skills. I value Forensics above all else and strongly support UK in helping to create this certificate in "Directing Forensics".

Thank you,

Rachel B. Retherford

Directing Forensics Undergraduate Certificate Portfolio Guidelines

Your portfolio will be comprised of three main units. One will provide evidence in support of your ability to teach and coach public address, on one teaching and coaching either oral interpretation or debate (depending on the course you complete), and one on directing a competitive forensics program. More specific details are provided here.

Unit 1. Teaching and Coaching Public Address Completed in ICR 384

- a) Reflective Teaching/Coaching Philosophy for Platform Public Speaking: This is a 400-500 word document articulating your platform public address coaching goals and why, as well as your methods for achieving and assessing them with students.
- b) An annotated informative speech outline and accompanying video recording of the student delivering it.
- c) An annotated persuasive speech outline and accompanying video recording of the student delivering it.
- d) Reflective Teaching/Coaching Philosophy for Limited Preparation Speaking: This is a 400-500 word document articulating your limited preparation coaching goals and why, as well as your methods for achieving and assessing them with students.
- e) Annotated list of potential extemporaneous speech topics and possible information sources.
- f) Annotated list of potential impromptu speech topics and possible information sources.
- g) Reflective Public Address Judging Philosophy: This is a 400-500 word document articulating your public address judging goals and why, as well as specific examples you would comment on in judging a competitor regarding them.
- h) One annotated judge's critique from a student you would or did rank highly and one you would or did rank lowly.

Unit 2a. Teaching and Coaching Oral Interpretation Completed in ICR 385

- a) Reflective Teaching/Coaching Philosophy for Oral Interpretation: This is a 400-500 word document articulating your oral interpretation coaching goals and why, as well as your methods for achieving and assessing them with students.

- b) An annotated poetry interpretation script (with introduction) and accompanying video recording of the student delivering it.
- c) An annotated prose interpretation script (with introduction) and accompanying video recording of the student delivering it.
- d) An annotated drama interpretation script (with introduction) and accompanying video recording of the student delivering it.
- e) An annotated duo or group interpretation (with introduction) and accompanying video recording of the students delivering it.
- f) Reflective Oral Interpretation Judging Philosophy: This is a 400-500 word document articulating your oral interpretation judging goals and why, as well as specific examples you would comment on in judging a competitor regarding them.
- g) One annotated judge's critique from a student you would or did rank highly and one you would or did rank lowly.

Unit 2b. Teaching and Coaching Debate Completed in ICR 386

- a) Reflective Teaching/Coaching Philosophy for Debate: This is a 500-800 word document describing your goals and why, as well as methods for achieving and assessing them in each type of debate (fact debate, value debate, policy debate, congressional debate).
- b) Sample flow sheets from judging a round of each type of debate with a reflective statement (300-500 words) regarding how and why you scored them as you did.
- c) A 400-500 word fact debate case with annotations about how and why you shaped it as you did.
- d) A 400-500 word value debate case with annotations about how and why you shaped it as you did.
- e) A 400-500 word policy debate case with annotations about how and why you shaped it as you did.
- f) A 400-500 word congressional debate case with annotations about how and why you shaped it as you did.

- a) Reflective Philosophy Statement for Directing Forensics. This is a 800-1000 word document describing your administrative goals and why, as well as methods for achieving and assessing them.
- b) Team Administration Documents. Annotated samples of a team travel schedule, budge, fundraising plan, recruitment plan, and public relations plan.
- c) Tournament Hosting Documents. Annotated samples of a tournament invitation, registration materials, schedule, budget, logistics plans.
- d) Tournament Tabulating Documents. A 400-500 word statement articulating how you go about tabulating a tournament with at least two sample tabulation sheets as evidence.
- e) Reflective Tournament Administration Philosophy. A 400-500 word statement articulation your tournament administration goals and why, as well as methods for achieving and assessing them.
- f) Issues in Forensics Paper. This is a 1200-1500 research paper identifying a contemporary problem or issue in forensics supported with evidence and reasoning and posing possible solutions or action steps to address it effectively in the community.

Directing Forensics Undergraduate Certificate

Student Learning Outcome Rubric
Fall 2013

Public Address Rubric

Content	Meets	Does Not Meet
Informative Speaking		
Can identify appropriate speech topics		
Can coach informative speaking		
Can judge informative speaking		
Can create an original informative speech		
Can critically examine informative speeches		
Persuasive Speaking		
Can identify appropriate speech topics		
Can coach persuasive speaking		
Can judge persuasive speaking		
Can create an original persuasive speech		
Can critically examines persuasive speeches		
Impromptu Speaking		
Can catalogue possible speech examples		
Can coach impromptu speaking		
Can judge impromptu speaking		
Can create an original impromptu speech		
Critically examines impromptu speeches		
Extemporaneous Speaking		
Can identify speech topics and manage student research files		
Can coach extemporaneous speaking		
Can judge extemporaneous speaking		
Can critically examine extemporaneous speeches		

Directing Forensics Undergraduate Certificate

Student Learning Outcome Rubric
Fall 2013

Oral Interpretation Rubric

Content	Meets	Does Not Meet
Poetry Interpretation		
Can identify appropriate poems for performance		
Can edit poetry for interpretation events		
Can coach poetry interpretation		
Can judge poetry interpretation		
Can critically examine interpretations of poetry		
Prose Interpretation		
Can identify appropriate prose for performance		
Can edit prose for interpretation events		
Can coach prose interpretation		
Can judge prose interpretation		
Can critically examine interpretations of prose		
Drama Interpretation		
Can identify appropriate drama for performance		
Can edit drama for interpretation events		
Can coach drama interpretation		
Can judge drama interpretation		
Can critically examine interpretations of drama		
Duo/Group Interpretation		
Can identify appropriate duo/group literature		
Can edit duo/group scripts for interpretation events		
Can coach duo/group interpretation		
Can judge duo/group interpretation		
Can critically examine duo/group performances		

Directing Forensics Undergraduate Certificate

Student Learning Outcome Rubric
Fall 2013

Competitive Debate Rubric

Content	Meets	Does Not Meet
Team Fact Debate		
Can coach fact debate		
Can judge fact debate		
Can create a fact debate case		
Can successfully debate a fact round		
Can critically examine fact round arguments		
Individual Value Debate		
Can coach value debate		
Can judge value debate		
Can create a value debate case		
Can successfully debate a value round		
Can critically examine value round arguments		
Individual Policy Debate		
Can coach policy debate		
Can judge policy debate		
Can create a policy debate case		
Can successfully debate a policy round		
Can critically examine policy round arguments		
Congressional Debate		
Can coach congressional debate		
Can judge congressional debate		
Can write resolutions or legislation		
Can successfully debate a congress round		
Can critically examine arguments in congress		

Directing Forensics Undergraduate Certificate

Student Learning Outcome Rubric
Fall 2013

Directing Forensics Rubric

Content	Meets	Does Not Meet
Team Administration		
Can create a team travel schedule		
Can create a detailed team budget		
Can develop a team fundraising plan		
Can develop a team recruitment plan		
Can develop a team public relations plan		
Clearly presents team administration strategic plan		
Tournament Hosting		
Can create a tournament invitation and registration materials		
Can create a detailed tournament budget		
Clearly outlines a tournament logistics plan and schedule		
Can tabulate a tournament		
Issues in Forensics Paper		
Articulately discusses a contemporary issue		
Critically analyzes sources for support		
Makes a coherent suggestion or solution for the community		

Directing Forensics Undergraduate Certificate

Certificate Program Assessment

Objective	Meets	Does Not Meet
Certify at least three students annually		
TCEs from students at or above the college mean		
Satisfactory exit interviews from certificate students		
Satisfactory alumni survey responses (3.0 or higher on a scale from 1 to 5)		



April 24, 2015

Andrew Hippisley
Chair, University of Kentucky Senate Council

Veterinary Science
College of Agriculture
GLUCK EQUINE RESEARCH CENTER
Lexington, KY 40546-0099
(859) 218-1105
www.uky.edu
Fax (859) 257-8542
Writer's email: ebailey@uky.edu

Dear Dr. Hippisley,

The Senate Academic Organization and Structure Committee (SAOSC) members individually reviewed the proposal to change the name of the Multidisciplinary Research Center “**Center for Interprofessional Health Education, Research and Practice**” to “**Center for Interprofessional Health Education**”. The proposal was distributed by email to all 11 members of the Senate Academic Organization and Structure Committee for review. As of this date, 8 of the 11 members of the committee responded by email indicating approval of the proposal.

Dr. James C. Norton, Director of the Center, was the author of the proposal. The Center is designated to promote Inter-professional Education (IPE) for students pursuing education involving the Colleges of Communication and Information, Dentistry, Health Science, Medicine, Pharmacy, Public Health and Sociology. They define IPE as education, training or teaching involving more than one profession in joint, interactive learning. The Center was approved by the Board of Trustees in 2010 following a discussion of the proposal at the May 3, 2010 Senate Meeting.

The explanation for the change in the name is that the Center makes a significant contribution to the educational aspect of the IPE while the research and practice components are better served in other programs. Specifically, they reported that research on IPE falls within the purview of the Center for Health Systems Research and practice aspects fall within the scope of UKHealthCare. This name change more accurately reflects the activities of this Center, specifically education, and reduces the appearance of conflict with other programs involved in IPE research and practice.

The name change was proposed by a faculty committee representing the constituent colleges and endorsed by the board of directors for the Center (Deans of affiliated colleges) and the Provost.

The SAOSC committee voted to send the proposal to the University of Kentucky Senate Council with a recommendation for endorsement.

Respectfully and on behalf of the SAOSC,

Ernest Bailey, PhD
Professor
Chair of SAOC

4/8/15

Memo

To: Andrew Hippisley, PhD, Senate Council Chair

From: James C. Norton, PhD, Director, UK Center for Interprofessional Health Education, Research and Practice (CIHERP, herein after, 'Center')

Re: Center name change

Attached please find the following documents:

SAOSC Form Rev

Senate Council Organizational Structure Committee Guidelines

Minutes-Final Report Recommendations_Notes from Board Meeting-4.3.15

These documents are submitted to request approval by the Senate Council of a change in the name of the Center. This request is supported by Center Leadership, including its Director, Board of Directors and the Provost, and reflects the recommendations of a committee charged by the Provost in late 2014 to review the Center and to make recommendations regarding its future course. This committee was chaired by Dr. James Holsinger, MD and included the following members representing the health professions colleges:

Dr. James Holsinger – Public Health (Chair)

Dr. Patricia Burkhart – Nursing

Dr. Pinar Emecen-Huja – Dentistry

Dr. Christopher Feddock – Medicine

Dr. Janice Kuperstein – Health Sciences

Dr. James Norton – IPE Center

Dr. Frank Romanelli – Pharmacy

Its recommendations were approved unanimously by the committee and were discussed by the Center Board of Directors, modified by that body, approved unanimously, and sent to the Provost on 4/3/15. He approved them on 4/5/15. The first recommendation was to change the name of the Center, better to reflect its current, and expected future, functions.

I respectfully ask that the Senate Council favorably consider this request and am happy to provide additional information if needed.

COVER PAGE FOR CHANGES TO ACADEMIC ORGANIZATION OR STRUCTURE OF AN EDUCATIONAL UNIT

The Senate’s Academic Organization and Structure Committee (SAOSC) is tasked by the University Senate with the review of proposals to change academic organization or structure. The information needed by the SAOSC for the review of such proposals is set forth in *Senate Rules 3.4.2.A.5*¹.

The SAOSC has developed a set of guidelines (from the *Senate Rules*) that are intended to ease the task of proposal submission (available at <http://www.uky.edu/Faculty/Senate/forms.htm>). As proposal omissions usually cause a delay in the review process, the individual(s) responsible for the proposal is (are) urged to familiarize themselves with these guidelines before submitting their proposals for review. In particular, the individual responsible for the proposal must fill out Sections I, II and III of this form, as well as include statements and documentation that provide a full accounting of the items a - i, below.

- a. Disposition of faculty, staff and resources (financial and physical);
- b. Willingness of the donating units to release faculty lines for transfer to a different educational unit;
- c. Consultation with the faculty of the unit to which the faculty lines are proposed to be transferred;
- d. Consultation with the faculty of educational unit that will be significantly reduced;
- e. Summary of votes and viewpoints (including dissents) of unit faculty and department/college committees;
- f. Ballots, votes expressing support for or against the proposal by unit faculty and staff and committees;
- g. Letters of support or opposition from appropriate faculty and/or administrators; and
- h. Letters of support from outside the University.

Section I – General Information about Proposal

One- to two-sentence description of change:	We propose to change the name of the Center for Interprofessional Health Education, Research and Practice. It will be called, the Center for Interprofessional Health Education.			
Contact person name:	James C. Norton, PhD	Phone:	32057	Email: jnorton@email.uky.edu
Administrative position (dean, chair, director, etc.):	Director			

Section II – Educational Unit(s) Potentially Impacted by Proposal

Check all that apply and name the specific unit(s).	
<input type="checkbox"/>	Department of: _____
<input type="checkbox"/>	School of: _____
<input checked="" type="checkbox"/>	College of: Communcation and Information, Dentistry, Health Sciences, Medicine, Pharmacy, Public Health, Social Work,
<input type="checkbox"/>	Graduate Center for: _____
<input type="checkbox"/>	Interdisciplinary Instructional Program: _____
<input type="checkbox"/>	Multidisciplinary Research Center/Institute: _____

Section III – Type of Proposal

Check all that apply.

¹ Items a-i are derived from *Senate Rules 3.4.2.A.5*. The Senate Rules in their entirety are available at http://www.uky.edu/Faculty/Senate/rules_regulations/index.htm.)

COVER PAGE FOR CHANGES TO ACADEMIC ORGANIZATION OR STRUCTURE OF AN EDUCATIONAL UNIT

<i>A. Changes</i>	
<input checked="" type="checkbox"/>	Change to the name of an educational unit.
<input type="checkbox"/>	Change to the type of educational unit (e.g., from department to school).
<i>B. Other types of proposals</i>	
<input type="checkbox"/>	Creation of a new educational unit.
<input type="checkbox"/>	Consolidation of multiple educational units.
<input type="checkbox"/>	Transfer of an academic program to a different educational unit.
<input type="checkbox"/>	Transfer of an educational unit to a different reporting unit.
<input type="checkbox"/>	Significant reduction of an educational unit.
<input type="checkbox"/>	Discontinuation, suspension or closure of an educational unit.
<input checked="" type="checkbox"/>	Other (Give a one- or two-sentence description below; a complete description will be in the proposal).
	We propose to change the name of the Center for Interprofessional Health Education, Research and Practice. It will be called, the Center for Interprofessional Health Education.

Section IV is for internal use/guidance.

Section IV – Guidance for SAOSC, Senate Council and University Senate

SAOSC Review of Type A Proposals (Changes to Type of, or to Name of, an Educational Unit)

- ✓ SAOSC review of proposal.
- ✓ SAOSC recommendation for an additional or joint review by other Senate committee(s) (e.g. Senate's Academic Programs Committee).

SAOSC Review of Type B Proposals (All Other Changes)

- ✓ SAOSC review of proposal.
- ✓ SAOSC recommendation for an additional or joint review by other Senate committee(s) (e.g. Senate's Academic Programs Committee).
- ✓ SAOSC review of proposals for creation, consolidation, transfer, closure, discontinuation, or significant reduction and educational unit, or transfer of an academic program to a different educational unit (attach documentation).
- ✓ Program review in past three years (attach documentation).
- ✓ Request to Provost for new program review (attach documentation).
- ✓ Open hearing (attach documentation).
 - SAOSC information must be shared with unit 10 days prior to hearing.
 - Open hearing procedures disseminated.

Voting by SAOSC, Senate Council and University Senate

- ✓ Endorse (or do not endorse) the academic organization, reporting, infrastructure, etc.
 - This vote is taken by the SAOSC, SC and Senate for every SAOSC proposal.
- ✓ Approve (or do not approve) the academic status or content of academic program.

COVER PAGE FOR CHANGES TO ACADEMIC ORGANIZATION OR STRUCTURE OF AN EDUCATIONAL UNIT

- This vote is taken by the SAOSC, SC and Senate only when the review involves an MDRC.

Senate Academic Organization and Structure Committee (SAOSC)

Guidelines for Preparing a Proposal for Change in Organization

May 5, 2011 (revised December, 2013 ; October 2014)

This document provides guidance on the preparation of proposals to change (modify or create) the organizational structure of an academic unit focused primarily on the academic aspects of the structural change. The recommendations are based on the experience of previous proposal documents and issues that have come up through the vetting process. Your proposal should consider that some members of the SAOSC committee, Senate Council, and University Senate may not be familiar with the relevant academic disciplines. Some suggested questions may not be applicable to every proposal but after reviewing a number of proposals these areas are often brought up during discussion. The hope is to shorten the time it takes to reach a proposal decision for proposers.

When submitting a proposal that may be reviewed by multiple Senate committees, anticipate that these committees will focus on different criteria in accordance with their charges. The SAOSC committee devotes much attention to issues such as the rationale for a unit's existence and structure, staffing sources, leadership selection processes, evidence of sustained financial viability and documentation of consultation with affected parties.

The following is a list of questions that may be applicable to your proposal. Address those items which are pertinent in the text of your proposal.

- 1) What is the impetus for the proposed change?

The UK Center for Interprofessional Health Education, Research and Practice (CIHERP) was established in 2010 with the following Mission and Vision Statements:

MISSION: Promote teamwork and excellence in patient and community centered care through interprofessional education, research, and practice.

VISION: The University of Kentucky Center for Interprofessional HealthCare Education, Research, and Practice will lead U.S. universities and academic medical centers in developing, validating and promoting interprofessional education and care models that improve patient and population health.

These statements reflect the fact that the initial intent in founding the Center was to address a threefold mission. First, it was to provide interprofessional education (IPE) for students in the health professions and related disciplines (e.g., Social Work). Second, it was to foster research on interprofessional health care delivery with a focus on team-based care. Finally, it was to facilitate modification and improvement of practice patterns to increase the prevalence of team-based, interprofessional care. This was a very ambitious collection of expectations and, in fact, it has not been met.

In 2014, the Provost named a committee, chaired by Dr. James Holsinger, to review CIHERP and IPE more generally and to make recommendations for IPE going forward. Among the findings of the

committee, perhaps the most fundamental was the fact that the CIHERP was not meeting meaningfully addressing the last two elements of the mission and, furthermore, that it was unreasonable to expect that it would. Research on interprofessional health care is more logically the purview of the Center for Health Systems Research and implementation of changes in the direction of team-based care is more reasonably left to UK HealthCare. What the CIHERP was doing effectively, however, was addressing the first element of the mission, facilitating IPE. Accordingly, the committee recommended and the Board of Directors and Provost agreed that the mission should be limited to IPE. The committee further recommended that the name of the CIHERP be changed to reflect this reorientation of mission.

We ask, therefore, that the Senate consider and approve a change of the name of CIHERP to, The UK Center for Interprofessional Health Education (CIPHE).

- 2) What are the benefits and weaknesses of the proposed unit with specific emphasis on the academic merits for the proposed change?

The proposed name change reflects the actual function of the unit. The present name is misleading.

- 3) Describe the organization of the current structure and how the proposed structure will be different and better. N/A
- 4) How does the change fit with department, college, and/or university objectives and priorities? N/A
- 5) How does this change better position the proposers relative to state and national peers, as well as University Benchmark Institutions? How does the change help UK meet the goals of its strategic plan? N/A
- 6) Who are the key personnel associated with the proposed unit? N/A.
- 7) Discuss leadership and selection process for appointing a chair, a director, or interim leader and search process, etc. N/A
- 8) What is the function of the faculty/staff associated with the proposed change and how is that relationship defined? Discuss DOE, adjunct, full time, voting rights, etc. N/A
- 9) Will the proposed change involve multiple schools or colleges? N/A
- 10) If the proposed change will involve transferring personnel from one unit to another, provide evidence that the donor unit is willing and able to release the personnel. N/A
- 11) What is the arrangement of faculty associated with the proposed change and how is that relationship defined? Discuss faculty DOE and status as adjunct, tenure track, or tenured. Describe the level of faculty input in the policy making process including voting rights and advisory. N/A
- 12) Discuss any implications of the proposal for accreditation by SACS and/or other organizations.

Having an accurate title for the unit is important in conveying to accrediting bodies and other constituents its nature.

- 13) What is the timeline for key events in the proposed change? Student enrollments, graduates, moved programs, closed courses, new faculty and staff hires, etc. N/A

- 14) If the proposal involves degree changes * , describe how the proposed structure will enhance students' education and make them more competitive. Discuss the impact on current and future students. State assumptions underlying student enrollment growth and describe the plans for student recruitment. N/A
- 15) Include evidence that adequate financial resources exist for the proposed unit to be viable. A general description of the new costs and funding should be provided. A letter from the Provost, Dean, or other relevant administrators may affirm commitment to provide financial resources as appropriate. An exhaustive budget is not expected. N/A
- 16) The proposal should document any faculty votes and departmental or school committee votes as appropriate leading up to this point in the process. The SAOSC recommends that faculty votes be by secret ballot. Include in your documentation of each vote taken the total number of eligible voters and the number that actually voted along with the breakdown of the vote into numbers for, against and abstaining. A Chair or Dean may appropriately summarize supporting and opposing viewpoints expressed during faculty discussions. N/A
- 17) The committee will want to see evidence of academic merit and support from key parties. Letters of support (or opposition) are encouraged from the relevant senior faculty and administrators. Relevant faculty and administrators include those in units directly involved in the proposed change (including existing units from which a new unit may be formed.)

The proposed name change was unanimously endorsed by the Holsinger Committee, by the CIHERP Board of Directors and by the Provost.

- 18) Indicate how the new structure will be evaluated as to whether it is meeting the objectives or its formation. Timing of key events is helpful. N/A
- 19) Letters of support from outside the University may be helpful in understanding why this change helps people beyond the University. * N/A

Note that new programs and courses will need to be vetted through appropriate channels beyond this committee.

**CIHERP Board of Directors Meeting
February 10, 2015 @ 4:30 p.m.**

Present: Drs. Adams (by phone), Heath, Stewart, Griffith, Tracy, Sanderson, Norton (guests: Dr. Holsinger, Jim Ballard)

AGENDA ITEM	PRESENTATION/DISCUSSION	ACTION/FOLLOW-UP
Recommendations from the Report		
<p>Discussion of the recommendations of the CIHERP internal review committee report chaired by Dr. James Holsinger</p>	<ul style="list-style-type: none"> - Recommendation 1: Rename the Center: Center for Interprofessional Education in the Health Professions (CIEHP) or Center for Interprofessional Health Education (CIHE) - 	<p><u>Discussion:</u> There was concern that this name did not adequately represent all participating colleges</p> <p><u>Outcome & Follow-up:</u> The name, <i>Center for Interprofessional Education in Health Care</i> was considered. Dr. Tracy will ask Deans of participating colleges to review. Another possibility mentioned was, <i>Center for Interprofessional Health Education</i>.</p>
	<ul style="list-style-type: none"> - Recommendation 2: Refocus the mission of the Center on interprofessional healthcare education and its associated pedagogical research. 	<p><u>Discussion:</u> All agreed this is a more focused and appropriate mission. The goal is to transform the Center to an IP educational support unit.</p> <p><u>Outcome:</u> Recommendation approved in theory but Drs. Tracy and Norton will determine the requirements for making this change within UK Administration (i.e., must it be voted on by Faculty Senate?)</p>

**CIHERP Board of Directors Meeting
February 10, 2015 @ 4:30 p.m.**

	<p>- Recommendation 3: Locate interprofessional practice and its associated research in the Center for Health Services research (CHSR).</p>	<p><u>Discussion:</u> All agreed that this is consistent with the revised focus of the IPE center.</p> <p><u>Outcome & Follow-up:</u> This will be discussed with Erika Erlandson, regarding the Nexus project and Mark Williams. However, since funding for one of the Center's staff comes from a grant that supports this effort, formal transition is pending determination of funding for the staff member going forward.</p>
	<p>- Recommendation 4: Assure that the Center Director reports to a senior member of the Provost's staff with knowledge of interprofessional healthcare</p>	<p><u>Discussion:</u> All agreed that this is not actionable until the new Provost is selected.</p> <p><u>Outcome & Follow-up:</u> Table for discussion with the new Provost.</p>
	<p>- Recommendation 5: Staff the Center with a Director (a minimum of 0.4 FTE), FT Associate Director, FT Program Coordinator, FT Educational Specialist, 0.5 FTE Administrative Assistant, and a financial officer in the Provost's office assigned to the Center for managing grants including financial liaison with OSPA.</p>	<p><u>Discussion:</u> There was significant discussion about this with consensus that it is difficult to determine a priori the staffing needs of the Center when the mission, scope, breadth, and depth of the work have changed. There was confusion about the specific roles that each member of the staff would have (i.e., how does the educational specialist differ from the associate director role?)</p> <p><u>Outcome & Follow-up:</u> The Center was charged with</p>

**CIHERP Board of Directors Meeting
February 10, 2015 @ 4:30 p.m.**

		<p>defining the roles of each staff member and developing a workforce analysis with FTW estimates, based on the projected direction of the Center, this document to be discussed and refined with Tim and shared with the Board.</p>
	<p>- Recommendation 6: Appoint an Academic Leadership Committee composed of healthcare colleges' Associate Deans or representatives to function as the governing body of the Center, chaired by the Center Director.</p>	<p><u>Discussion:</u> The deans thought it inappropriate to transfer Center governance to associate deans due to the latter's inability to allocate resources. There also was concern that the original Center proposal contained language that the deans would govern the Center. There was general agreement that the deans should govern and the associate deans provide leadership for operational decisions.</p> <p><u>Outcome & Follow-up:</u> replace the word "governing" with "operations." and confirm that the BOT action establishing the Center states that the deans are the governing body. Add the word "participating" to define colleges included.</p>
	<p>- Recommendation 7: Fund the Center, during FY 2015-2016, through the The Fund for the Advancement of Education and Research in the Medical Center and UK Healthcare, setting a benchmark for subsequent fiscal years.</p>	<p><u>Discussion:</u> Unable to consider until discussions are held with the Provost and Dr. Karpf</p> <p><u>Outcome & Follow-up:</u> Tabled</p>

**CIHERP Board of Directors Meeting
February 10, 2015 @ 4:30 p.m.**

		until a Provost is appointed
	- Recommendation 8: During FY 2016-2017, fund the Center by UK Healthcare and Academic Support allocated expense funds. Each college's faculty DOE and staff time will be funded through each college's budget.	<u>Discussion:</u> Unable to consider until discussions are held with the Provost and Dr. Karpf <u>Outcome & Follow-up:</u> Tabled until a Provost is appointed
	- Recommendation 9: Continue iCATS Year 1 curriculum with appropriate revisions as necessary.	<u>Discussion:</u> All agreed. <u>Outcome & Follow-up:</u> Recommendation approved
	- Recommendation 10: Replace iCATS Year 2, with education modules developed to support interprofessional practice, which can be utilized as needed by various participating colleges. (Revised from the original, reflecting the discussion described in adjacent column.)	<u>Discussion:</u> All agreed <u>Outcome & Follow-up:</u> Recommendation approved but need to change wording to "participating" colleges.
	- Recommendation 11: Charge the Center with facilitating the development of various authentic interprofessional health education experiences supported by appropriate educational modules for team use.	<u>Discussion:</u> There was misunderstanding about the phrase, "Authentic interprofessional Experiences." This was clarified to be defined as experiences in existing clinical settings that might be transformed to become interprofessional. <u>Outcome & Follow-up:</u> Recommendation approved but with a rephrasing of the recommendation
	- Recommendation 12: Assure that each college and program designates faculty members as its IPE champions, with appropriate DOE allocation, who	<u>Discussion:</u> The consensus was that questions 12 and 13 are too

**CIHERP Board of Directors Meeting
February 10, 2015 @ 4:30 p.m.**

	<p>will facilitate existing IPE opportunities, work with other IPE champions to develop new opportunities, and assist in developing appropriate curricular IPE modules. (Revised from the original, reflecting the discussion described in adjacent column.)</p> <ul style="list-style-type: none"> - - Recommendation 13: Assure that faculty receive appropriate DOE allocation for IPE activities. (Revised from the original and has been incorporated as above, reflecting the discussion described in adjacent column.) 	<p>similar to stand alone as recommendations. Also, there was confusion as to the differences and responsibilities of a “faculty champion” versus a “faculty facilitator”.</p> <p><u>Outcome & Follow-up:</u> Board Chair and Director will provide draft new language that combines recommendations 12 and 13</p>
	<ul style="list-style-type: none"> - Recommendation 14: Support efforts to assure that each healthcare college and appropriate program participate in iCATS1. 	<p>Discussion: Consensus was that this recommendation is redundant (with question #9) and should be deleted.</p> <p><u>Outcome & Follow-up:</u> Recommendation not approved</p>

Brothers, Sheila C

From: Graf, Gregory A
Sent: Friday, April 24, 2015 3:46 PM
To: Brothers, Sheila C
Cc: Hippisley, Andrew R; Botts, Hannah M; ganpathy; Liu, Chunming; Prats, Armando; Rompf, Elizabeth L; Schultz, Robert; Scott, Leslie K; Yost, Scott A
Subject: BA-JD

The proposed admission standards for the BA-JD program have received a majority approval by email vote as written.

Thanks,

Greg

Gregory A Graf
Associate Professor
University of Kentucky
Pharmaceutical Sciences
Saha Cardiovascular Research Center
Barnstable Brown Diabetes and Obesity Center

Memorandum

To: Admissions Committee

From: Mary J. Davis, Admissions Committee Chair

CC: Dean David A. Brennen, Associate Dean Doug Michael

Date: December 10, 2014

Re: Recommendation for amendment to UK Law Admissions policy to reflect 6 year BA/JD

Dear Admissions Committee Members:

The College of Arts and Sciences (A&S) has finalized its proposal to endorse a 6 year BA to JD degree program (also referred to as a 3+3 program). The Educational Policy Committee of A&S (the equivalent to our Curriculum Committee) voted unanimously to approve this degree program on December 2, 2014. The proposal is attached for your review. Toni and I worked with those at A&S responsible for putting this degree program together and are happy to answer any questions you may have about it. Our next step is to approve a change to our College of Law Admissions policies to reflect our willingness to consider applicants from this program.

As I explained to the faculty at our September meeting, A&S decided to pursue this degree program option with English, History, and Political Science majors. The Chairs of those departments, along with the Associate Dean of Undergraduate Studies, Anna Bosch, and Dean Kornbluh, thoroughly explored all issues surrounding this proposed degree plan. I highlight a few of the program's details for you below:

- The degree program will be named the BLUE program (Bachelor to Law Undergraduate Education). This name was chosen after many names were vetted. We were asked to consider this name, along with others, and BLUE met with the greatest support. An undergraduate applicant will apply to the History BLUE, Political Science BLUE, or English BLUE degree program during their senior year of high school.
- Everyone at A&S understands that acceptance into the BLUE program does not guarantee admission to UK Law and that each BLUE program participant must seek separate admission to UK Law during their junior year.
- A separate A&S Admissions Committee will select applicants for admission to the BLUE program, including a representative from the law school.
- The minimum requirements to apply to the BLUE program will be 29 ACT and 3.5 (unweighted) GPA. As a point of reference, the Honors Program's baseline requirements for admission are 28 ACT and 3.5 (unweighted) GPA and the minimums for competitive freshman scholarships (including Singletary, Presidential, and Commonwealth) are 31 ACT and 3.5 (unweighted) GPA.

- A newly hired pre-law advisor will work with the BLUE program students on curricular choices. In addition, the advisor will ensure, as much as possible, the applicants are prepared for law school when the time comes to help address any concerns with maturity.

Based upon this information and the EPC's approval of the BLUE degree program proposal, I propose we amend our Admissions policies to reflect this new degree program by accepting students who have successfully completed three (3) years of undergraduate study, but who will not have a bachelor's degree at the time of admission to UK Law. These students will receive an undergraduate degree from UK at the successful completion of their first year of law school. Below is my formal recommendation:

Statement of Admissions Policy for Applicants for an Entering Class will be amended as follows (underlining reflects new material):

1. The applicant must have a bachelor's degree from an accredited Institution. However, if the applicant is a student at the University of Kentucky and is enrolled in an approved Bachelor to Law Undergraduate Education (BLUE) program, the applicant will be considered for admission without having a bachelor's degree at the time of enrollment.

Amendment of the UK College of Law Admissions policies will become effective upon final approval by all appropriate University governing bodies of the underlying Bachelor's to Law Undergraduate Education (BLUE) degree programs.

Please let Toni or me know if you have any questions about the BLUE program or the suggested amendment to our Admissions policy. If you would like to meet on this issue, I am happy to schedule an Admissions Committee meeting for that purpose. If you approve this policy amendment, I would like to submit it to the faculty for approval at the December faculty meeting.

Thanks,

Mary



January 6, 2015

College of Nursing
315 College of Nursing Building
Lexington, KY 40536-0232
859 323-5108
fax 859 323-1057
www.uknursing.uky.edu

TO: Senate Council

A handwritten signature in blue ink, appearing to be "PBH", written over the "TO:" line.

FROM: Patricia B. Howard, Executive Associate Dean, Academic Operations

RE: Program Changes for BSN

Attached please find a program change request for the admission requirements of Pre-Nursing students. The retention issues have become more pronounced for our college due to increased freshman class size (~350 this year) but an absolute capacity (160) for students in the major at sophomore level.

The proposal is to raise the admission requirements for pre-nursing to reflect more accurately the academic preparation of the students who are eventually admitted to the major and thus limit the enrollment of students in pre-nursing who are unlikely to be admitted to the major. Students from other majors on campus will be eligible to apply if they have met the pre-requisites, so students are not being denied an opportunity to apply.

The second part of the proposal is to increase the minimum standards for students who come with a guarantee of admission to align them with the overall averages of students admitted to the major.

Our most recent external review team raised several questions regarding the current practice and recommended an immediate change in process due to retention issues and the overall demand for the available supply. We are requesting approval to be implemented for the 2015-16 recruitment/admission cycle, for students who will enroll in fall 2016.

CHANGE UNDERGRADUATE PROGRAM FORM

1. General Information

College: <u>Nursing</u>		Department: _____	
Current Major Name:	<u>Nursing</u>	Proposed Major Name:	_____
Current Degree Title:	<u>Bachelor of Science in Nursing</u>	Proposed Degree Title:	_____
Formal Option(s):	<u>Four-year students</u>	Proposed Formal Option(s):	_____
Specialty Field w/in Formal Option:	_____	Proposed Specialty Field w/in Formal Options:	_____
Date of Contact with Associate Provost for Academic Administration ¹ : _____			
Bulletin (yr & pgs):	<u>2014-15, 285-290</u>	CIP Code ¹ :	<u>51.3801</u> Today's Date: <u>1/6/15</u>
Accrediting Agency (if applicable): <u>AACN</u>			
Requested Effective Date: <input type="checkbox"/> Semester following approval. OR <input checked="" type="checkbox"/> Specific Date ² : <u>Fall 2015</u>			
Dept. Contact Person:	<u>Patricia Burkhart</u>	Phone:	<u>3-8071</u> Email: <u>Patricia.Burkhart@uky.edu</u>

2. General Education Curriculum for this Program:

The new General Education curriculum is comprised of the equivalent of 30 credit hours of course work. There are, however, some courses that exceed 3 credits & this would result in more than 30 credits in some majors.

- There is no foreign language requirement for the new Gen Ed curriculum.
- There is no General Education Electives requirement.

Please list the courses/credit hours currently used to fulfill the University Studies/General Education curriculum:

Please identify below the suggested courses/credit hours to fulfill the General Education curriculum.

General Education Area	Course	Credit Hrs
I. Intellectual Inquiry (one course in each area)		
Arts and Creativity	_____	_____
Humanities	_____	_____
Social Sciences	_____	_____
Natural/Physical/Mathematical	_____	_____
II. Composition and Communication		
Composition and Communication I	CIS or WRD 110	3
Composition and Communication II	CIS or WRD 111	3

¹ Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the (APAA) can provide you with that during the contact.

² Program changes are typically made effective for the semester following approval. No program will be made effective until all approvals are received.

CHANGE UNDERGRADUATE PROGRAM FORM

III. Quantitative Reasoning (one course in each area)			
Quantitative Foundations ³		_____	_____
Statistical Inferential Reasoning		_____	_____
IV. Citizenship (one course in each area)			
Community, Culture and Citizenship in the USA		_____	_____
Global Dynamics		_____	_____
Total General Education Hours			_____

3. Explain whether the proposed changes to the program (as described in sections 4 to 12) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).

--	--

4. Explain how satisfaction of the University Graduation Writing Requirement will be changed.

Current	Proposed
<input type="checkbox"/> Standard University course offering. List: _____	<input type="checkbox"/> <i>Standard University course offering.</i> List: _____
<input type="checkbox"/> Specific course – list: _____	<input type="checkbox"/> <i>Specific course) – list: _____</i>

5. List any changes to college-level requirements that must be satisfied.

Current	Proposed
<input type="checkbox"/> Standard college requirement. List: _____	<input type="checkbox"/> <i>Standard college requirement.</i> List: _____
<input type="checkbox"/> Specific required course – list: _____	<input type="checkbox"/> <i>Specific course – list: _____</i>

6. List pre-major or pre-professional course requirements that will change, including credit hours.

Current	Proposed
_____	_____

7. List the major's course requirements that will change, including credit hours.

Current	Proposed
_____	_____

8. Does the pgm require a minor AND does the proposed change affect the required minor? N/A Yes No
If "Yes," indicate current courses and proposed changes below.

Current	Proposed
_____	_____

9. Does the proposed change affect any option(s)? N/A Yes No

If "Yes," indicate current courses and proposed changes below, including credit hours, and also specialties and subspecialties, if any.

³ Note that MA 109 is NOT approved as a Quantitative Foundations course. Students in a major requiring calculus will use a calculus course (MA 113, 123, 137 or 138) while students not requiring calculus should take MA 111, PHI 120 or another approved course.

CHANGE UNDERGRADUATE PROGRAM FORM

Current	Proposed

- 10. Does the change affect pgm requirements for number of credit hrs outside the major subject in a related field?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed

- 11. Does the change affect pgm requirements for technical or professional support electives?** Yes No
 If so, indicate current courses and proposed changes below.

Current	Proposed

- 12. Does the change affect a minimum number of free credit hours or support electives?** Yes No
 If "Yes," indicate current courses and proposed changes below.

Current	Proposed

13. Summary of changes in required credit hours:

	Current	Proposed
a. Credit Hours of Premajor or Preprofessional Courses:	_____	_____
b. Credit Hours of Major's Requirements:	_____	_____
c. Credit Hours for Required Minor:	_____	_____
d. Credit Hours Needed for a Specific Option:	_____	_____
e. Credit Hours Outside of Major Subject in Related Field:	_____	_____
f. Credit Hours in Technical or Professional Support Electives:	_____	_____
g. Minimum Credit Hours of Free/Supportive Electives:	_____	_____
h. Total Credit Hours Required by Level:	100: _____	_____
	200: _____	_____
	300: _____	_____
	400-500: _____	_____
i. Total Credit Hours Required for Graduation:	_____	_____

- 14. Rationale for Change(s) – if rationale involves accreditation requirements, please include specific references to that.**

- 15. List below the typical semester by semester program for the major. If multiple options are available, attach a separate sheet for each option.**

YEAR 1 – FALL: (e.g. "BIO 103; 3 credits")	YEAR 1 – SPRING:

CHANGE UNDERGRADUATE PROGRAM FORM

YEAR 2 - FALL :	_____	YEAR 2 – SPRING:	_____
YEAR 3 - FALL:	_____	YEAR 3 - SPRING:	_____
YEAR 4 - FALL:	_____	YEAR 4 - SPRING:	_____

CHANGE UNDERGRADUATE PROGRAM FORM

Signature Routing Log

General Information:

Current Degree Title and Major Name: Bachelor of Science in Nursing

Proposal Contact Person Name: Patricia Burkhart

Phone: 3-8071



Email:

patricia.burkhart@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Undergraduate Faculty	12-5-14	Patricia Burkhart / 3/8071 / patricia.burkhart@uky.edu	
Executive Associate Dean, Academic Operations	12/5/14	Patricia B. Howard / 3-6332 / pbhowa00@uky.edu	
		/ /	
		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision ⁴
Undergraduate Council	3/3/15	Joanie Ett-Mims	
Graduate Council			
Health Care Colleges Council	1/20/2015	Pam Stein & Sharon Stewart	
Senate Council Approval		University Senate Approval	

Comments:

The course information section is left blank because there are no proposed changes to any courses.

⁴ Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.



College of Nursing
Office of Student Services
UK Medical Center
315 College of Nursing Bldg.
Lexington, KY 40536-0232

859 323-5108
Fax 859 323-1057

Rationale for changes

Proposal centers on 3 areas:

(1) Admission to Pre-Nursing (High School to Freshman year)

Increasing minimum standard for enrollment management and adding an ACT math requirement that meets the pre-requisite for Chemistry (CHE 103);

- Raise high school GPA from 2.75 to 3.25
- Specify minimum ACT composite of 22, with a minimum of 19 ACT math

(2) Early Admission Policy

To encourage enrollment of high caliber high school students, consistent with our benchmarks

- Raise the minimum high school cum GPA from 3.5 to 3.6 (unweighted); ACT composite remains the same
- Raise UK freshmen GPA from 3.25 to 3.6 GPA

(3) Admission to BSN major (freshmen to sophomore year)

Increasing minimum standards to be more consistent with benchmark nursing programs

- Raise minimum cumulative and science GPA from 2.75 to 3.0

**UNIVERSITY OF KENTUCKY
COLLEGE OF NURSING**

Proposed Changes to Undergraduate Nursing Program
EARLY ADMISSION (BULLETIN 2014-2015)

CURRENT Early Admission Policy (per 2014-2015 UK Bulletin)	PROPOSED CHANGE to Early Admission Policy
<p>High School GPA of 3.5 or higher. ACT composite of 28 or higher (or the equivalent SAT combined score). Students will be required to maintain a 3.25 GPA in each semester <i>in their first year at UK</i> and a 3.25 GPA in science to retain guaranteed admission to the professional level.</p> <p>Students who meet these requirements will be granted full admission in either the fall or spring of the student's sophomore year to the Professional Nursing Curriculum. Students not meeting those requirements will be grouped with other applicants who are considered for admission after completion of the prerequisites.</p>	<p>High School GPA of 3.6 or higher (unweighted). ACT composite of 28 or higher (or the equivalent SAT combined score). Students will be required to maintain a 3.6 GPA in each semester <i>in their first year at UK</i> and a 3.6 GPA in science to retain guaranteed admission to the professional level.</p> <p>Students who meet the early admission requirements will be granted full admission to the Professional Nursing program in either the fall or spring of the student's sophomore year. Students who do not meet the requirements will be considered with other applicants who meet admission criteria, following completion of program prerequisites.</p>

Approved by the Undergraduate Student Admission and Progression Committee (USAPC) and Undergraduate Nursing Faculty at meetings 9/05/14.

RATIONALE FOR RECOMMENDED CHANGES: The recommended changes reflect the increasing GPA and ACT of applicants admitted to the UK nursing program.

The faculty recommends retention of the provisional admission option because it assists in recruiting high caliber students, especially from out of state, who otherwise might choose another nursing program where they would be admitted as freshmen into a baccalaureate nursing program.

The table below reflects the enrollment statistics for the 2014-2015 academic year.

Term of Enrollment	Status	Average High School GPA	Average ACT	Average Cumulative GPA	Average Science GPA
Fall 2014	PNUI	3.56	25	N/A	N/A
Fall 2014 & Spring 2015	NURS	3.62	23	3.74	3.6

Within the residence halls, and in particular in the living learning community, there is tension between the students who have the provisional guarantee and those who do not. There is careful attention in the housing assignments in the living learning community to ensure that students are paired together who meet (or do not meet) the provisional admission requirements. That comes from experiencing the first year with unequal pairings and ensuing arguments that tend to have a negative impact on living and academic environments.

Due to limited resources and availability of clinical placements, the College admits 160 students to the professional nursing program to begin either fall or spring semester sophomore year (based on GPA; 80 students enrolled each semester). For 2014-2015 admission into nursing (NURS), there were 8 students

who, because of the provisional admission, were placed in fall semester ahead of students with higher grades who did not have the provisional admission. (This results in an extra semester of tuition cost for those 8 students with better academic performance but without provisional admission). The break point between those students admitted to fall semester versus spring semester (without provisional admission) was a 3.74 cumulative GPA (2014-2015).

For 2014-2015, there were 133 students admitted (PNU) who met the conditions for provisional admission. Of those, 44 students were Kentucky residents. Enrollment from the 133 students accepted to pre-nursing is 69. With the current standards for provisional admission, that would leave 11 spaces in fall semester for other students who may perform better than the students with provisional admission. Changing the requirements from 3.25 to 3.60 could make a significant impact. Of the 30 students admitted this fall into NURS, only 16 would have met the proposed criteria for provisional admission, thus creating more opportunities for students who perform well at UK freshmen year to have a chance at fall admission.

9/5/14 approved by vote of undergraduate nursing faculty

UNIVERSITY OF KENTUCKY
COLLEGE OF NURSING

Proposed Changes to Undergraduate Nursing Program
ADMISSION CRITERIA

CURRENT Admission Criteria (per 2014-2015 UK Bulletin)	PROPOSED Admission Criteria (To begin 2016-2017)
<p>Admission Criteria Criteria for admission to the 4-year B.S.N. program include:</p> <p>1. Freshman Student: Students will be admitted as freshmen to a pre-nursing curriculum based on the following criteria:</p> <p>a) high school grade-point average of 2.75 or above on a 4.0 scale; b) meeting criteria for selective admission to the University of Kentucky (see the <i>Undergraduate Admission</i> section of this Bulletin for more information).</p> <p>Consideration for Nursing program will occur at the sophomore level for all students based on the following criteria:</p> <p>a) a minimum cumulative and science grade point average of 2.75; b) a grade of C or better in all required pre-nursing courses; c) completion of an approved Medicaid Nurse Aide training program;</p> <p>d) the Internet-based TOEFL is required of all applicants whose <i>first or primary language</i> is other than English. Minimum cumulative score of 90; <i>and at least</i> minimum individual scores of 26 in speaking, 22 in listening, 20 in writing and 22 in reading.</p> <p>In addition, any or all of the following information may be requested as part of the application:</p> <p>e) a writing exercise based on the criteria established by the College of Nursing; f) two letters of reference from individuals who can assess potential for success (e.g., teacher, employer). g) an interview with members of the Admis-</p>	<p>Admission Criteria Criteria for admission to the 4-year B.S.N. program include:</p> <p>1. Freshman Student: Students will be admitted as freshmen to a pre-nursing curriculum based on the following criteria:</p> <p>a) high school grade-point average of 3.25 (unweighted) or above on a 4.0 scale and a minimum of 22 ACT composite, with a minimum of 19 ACT math score b) meeting criteria for selective admission to the University of Kentucky (see the <i>Undergraduate Admission</i> section of this Bulletin for more information).</p> <p>Consideration for Nursing program will occur at the sophomore level for all students based on the following criteria:</p> <p>a) a minimum cumulative and science grade point average of 3.0; b) a grade of C or better in all required pre-nursing courses; c) satisfactory completion of the UK College of Nursing approved Medicaid Nurse Aide training program;</p> <p>d) the Internet-based TOEFL is required of all applicants whose <i>first or primary language</i> is other than English. Minimum cumulative score of 90; <i>and at least</i> minimum individual scores of 26 in speaking, 22 in listening, 20 in writing and 22 in reading.</p> <p>In addition, any or all of the following information may be requested as part of the application:</p> <p>e) a writing exercise based on the criteria established by the College of Nursing; f) two letters of reference from individuals who can assess potential for success (e.g., teacher, employer). g) an interview with members of the Admis-</p>

sions and Progression Committee, or their designees.	sions and Progression Committee, or their designees.
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Approved by the Undergraduate Student Admission and Progression Committee (USAPC) 12/05/14 and Undergraduate Nursing Faculty 12/22/14 (electronic vote; 2/3 approval required for program change).

24/28 faculty voting = 86% response rate of UG faculty

75% (n = 18/24) YES, support BSN Admission Criteria

17% (n = 4/24) NO, do not support the changes to BSN Admission Criteria.

8% (n = 2/24) ABSTAIN FROM THIS VOTE

RATIONALE FOR RECOMMENDED CHANGES: The recommended changes reflect the increasing GPA and ACT of applicants admitted to the UK nursing program.

The recommended changes are in response to the increasing numbers of applications from high school graduates to the nursing program (e.g., > 1200 applications) and the limited number of spaces in the BSN program (160/year) sophomore year. The high school GPA and ACT recommended for applicants in this proposal are consistent with benchmark nursing programs and trend data supporting students' successful selection into the sophomore BSN nursing program; and responsive to retention concerns freshmen to sophomore year for students not selected to the BSN program.

I. Introduction

1. Ferrier Amendment(s)
 - a. Line 20-25

II. Scope

1. Clerical edits
 - a. Line 50
 - b. Line 56
2. Tagavi Amendment(s)
 - a. Line 41-42

III. Entities Affected

- No edits/amendments

IV. Procedures

1. Clerical edits
 - a. Line 66
 - b. Line 68-71

A. Allegations

1. Tagavi Amendment(s)
 - a. Line 97-98
2. Grossman Amendment(s)
 - a. Line 86-87
3. Lee Amendment(s)
 - a. Line 79-81
 - b. Line 89-91
4. Xenos Amendment(s)
 - a. Line 80
5. Senator Ferrier Amendment(s)
 - a. Line 85-89

Guide to Amendments for
Faculty Disciplinary Policy and Procedures (DRAFT)

B. University Investigation

- Clerical edits
 - Line 106-107
 - Line 109-110
- Tagavi Amendment(s)
 - Line 108-109

C. Notification and Mediation

- Clerical edits
 - Line 122-123
 - Line 125-126
- Tagavi Amendment(s)
 - Line 134-135
 - Line 146-147
 - Line 149-150
 - Line 162-164
- Grossman Amendment(s)
 - Line 141-143
- Lee Amendment(s)
 - Line 120
 - Line 122
 - Line 124-127
 - Line 135-138
- Bailey (on behalf of) Amendment(s)
 - Line 110
 - Line 115-116

D. Selection of the Faculty Disciplinary Panel Pool

- Clerical edits
 - Line 175-176
 - Line 180-183

Guide to Amendments for
Faculty Disciplinary Policy and Procedures (DRAFT)

E. Faculty Inquiry Panel

- Clerical edits
 - Line 213
 - Line 231
- Tagavi Amendment(s)
 - Line 193-195
 - Line 214-215
 - Line 235-236

F. Faculty Hearing Panel

- Clerical edits
 - Line 241-244
 - Line 247-248
 - Line 257
 - Line 284
 - Line 293
 - Line 300
 - Line 303
- Tagavi Amendment(s)
 - Line 243
 - Line 286-287
- Tagavi (on behalf of) Amendment(s)
 - Line 293-295
- Debski Amendment(s)
 - Line 293-294

Guide to Amendments for
Faculty Disciplinary Policy and Procedures (DRAFT)

G. Appeals

- Clerical edits
 - Line 321-322
 - Line 350

- Tagavi Amendment(s)
 - Line 328-332
 - Line 343

- Tagavi (on behalf of) Amendment(s)
 - Line 311-318
 - Line 320-323
 - Line 335-336
 - Line 344-347

- Debski Amendment(s)
 - Line 310-312
 - Line 325

- Porter (on behalf of) Amendment(s)
 - Line 310

V. Retaliation

- No edits/amendments

VI. Administrative Leave With Pay during the Process

- Clerical edits
 - Line 388

- Grossman Amendment(s)
 - Line 393-395

CLERICAL EDITS



UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing

1
2
3

Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

21
22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
24 Universities, academic freedom does not excuse a faculty member from complying with the rules, standards
25 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
26 Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as
27 described in paragraph 2 above.

28
29

II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

39

CLERICAL EDITS

40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
43 regulations that describe for each title series the expected activities and criteria for promotion and tenure.
44

45 To the extent that university administrators, including the President of the university, hold appointments
46 as faculty members, faculty administrators are subject to this regulation with respect to activities related
47 to their faculty appointment.
48

49 This regulation is separate and distinct from independent proceedings involving the enforcement of
50 clinical rights and clinical responsibilities that arise under the Joint Commission—mandated UK
51 HealthCare Medical Staff By-laws, the federally mandated University’s research misconduct policy, or the
52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
54 regulation.
55

56 This regulation ~~also~~ does not describe the proceedings for the revocation of tenure or for the termination
57 of academic appointments of faculty members who do not have tenure.
58

59 The procedures established by this regulation do not supersede Governing Regulations or Administrative
60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.
61

62 III. Entities Affected

63 This regulation will apply to all faculty members as defined in this regulation.
64

65 IV. Procedures

66 The following procedures govern the handling of alleged misconduct by a faculty member.
67

68 For purposes of computing deadlines under these procedures, if the deadline falls on a Saturday,
69 Sunday, Monday, or university-recognized holiday ~~or day when the University’s Office of the President is~~
70 ~~closed,~~ the deadline is automatically extended to the next day when the University’s ~~Office of the~~
71 ~~President~~ is open.
72

73 For purposes of this regulation, “written notification” means notification by formal written letter and
74 notification by electronic message.
75

76 A. Allegations

77

78 Any person may make a complaint against a faculty member by making allegations to the chair of a
79 faculty member’s department, the Dean of the faculty member’s college, or an appropriate university
80 official. Additionally, routine university operations, such as audits or compliance reviews, may result
81 in allegations against a faculty member.
82

83 Allegations against a faculty member by a member of the University community that are made other
84 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
85 delineated in these regulations.
86

87 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
88 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
89 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
90 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will

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91 dictate the time at which the accused faculty member is informed of the allegation. For purposes of
92 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
93 designate an associate counsel or non-university counsel retained by the General Counsel to handle
94 the allegation.

95
96 Allegations brought forward and adjudicated under this regulation cannot be reopened without
97 substantive new evidence, as determined by the General Counsel.

98 99 B. University Investigation

100
101 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
102 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
103 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
104 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
105 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s)
106 conducting the investigation will submit the investigation report to the Dean and the General Counsel.
107 ~~The General Counsel will transmit the report to the Dean of the faculty member's college.~~ If an
108 investigation finds nothing to support an allegation, the General Counsel will transmit these findings
109 to the Dean and the accused faculty member, and the conclusion of no merit to the Complainant (if
110 known), ~~and the accused faculty member.~~

111 112 C. Notification and Mediation

- 113
114 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
115 faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the
116 faculty member with a copy of the report. The faculty member may submit a written response to
117 the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may
118 extend this response period by an additional fourteen (14) days on oral or written request by the
119 faculty member.
- 120
121 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
122 will be held within twenty-one (21) days of the receipt of the ~~Dean's notification to the~~ faculty
123 member's written response. The purpose of the meeting is for the Dean, the chair and the faculty
124 member to attempt to reach an agreement as to whether misconduct occurred and, if so, an
125 appropriate sanction. A faculty member may elect to bring an advisor to the meeting with the
126 Dean and chair. In cases where the faculty member elects to have personal legal counsel at the
127 meeting(s) with the Dean and chair, an attorney from the Office of Legal Counsel must also be
128 present. It is to be hoped that the majority of cases will be resolved at this stage through
129 mediation.
- 130
131 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
132 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
133 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
134 as the following:
- 135 • Verbal reprimand
 - 136 • Written censure
 - 137 • Restitution to the University for actual monetary damage suffered by the University
138 through misuse or unauthorized use of University property
 - 139 • Loss of specific privileges including, but not limited to, loss of access to University Pro-
140 Card or travel funds
 - 141 • Removal from supervisory role and loss of title associated with that role
 - 142 • Removal from named or endowed chair or professorship
 - 143 • Reduction in salary for a specified period of time
 - 144 • Demotion in rank, but only if promotion was based on a fraudulent dossier
 - 145

CLERICAL EDITS

- Suspension with or without pay for a specified period of time
- Relocation and/or loss of space currently occupied by and/or assigned to the faculty member
- Denial or curtailment of emeritus status, if applicable
- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed recommended again by the Senate Council for subsequent terms. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor. Faculty members who occupy a position of administrative supervision over faculty personnel (i.e., individuals with greater than or equal to 50% administrative effort or individuals with an administrative assignment at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential

CLERICAL EDITS

members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.

2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that were not considered in the original investigation and that are provided by the General Counsel.
3. If the allegation involves against a chair or dean, the Faculty Inquiry Panel will ~~be expanded to~~ include three (3) tenured faculty members, who hold appointments in colleges other than that of the chair or dean and who will be selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost.
4. If the allegation involves a faculty employee holding an administration position above the level of either a dean or an administratively equivalent position, the procedures to be used for convening a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
5. If the allegations involve the President, the procedures will be determined by the Board of Trustees in consultation with the Senate Council.
6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if known), the faculty member, and the General Counsel.
7. If the Faculty Inquiry Panel, by a majority vote, does not finds that there is ~~no~~ probable cause to believe misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification of this finding to the Dean, the Complainant (if known), the faculty member, and the General Counsel.

F. Faculty Hearing Panel

1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council Chair will consult with the Chair of the Department of Statistics on the selection of this uniform random number generator. ~~Faculty members who occupy a position of administrative supervision over faculty personnel (i.e., individuals with greater than or equal to 50% administrative effort or individuals with an administrative assignment at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool.~~ A person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior factual knowledge of the case (*i.e.*, knowing something pertinent to the case before ~~it occurs~~ publicly the accusation has been made) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then a new member will be chosen at random from the Pool by the Senate Council Chair using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.

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- 256 | 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
257 | probable cause to believe misconduct has occurred, will notify the Senate Council ~~Chair~~ that a
258 | Faculty Hearing Panel is needed.
- 259 |
260 | 3. The Chair of the University Senate Council will select members of the panel at random from the
261 | Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
262 | Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
263 | receiving notification from the General Counsel. The Chair of the University Senate Council will
264 | inform potential members of the Faculty Hearing Panel that the case involves a named faculty
265 | member in a particular college.
- 266 |
267 | 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
268 | member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
269 | Senate Council Chair will select a new member or members at random from the Faculty
270 | Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
271 | the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
272 | seven (7) days.
- 273 |
274 | 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
275 | unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
276 | representative of the Office of Legal Counsel, will present the case against the faculty member.
277 | The accused faculty member, either alone or with the assistance of at most two (2) additional
278 | persons, such as an attorney and a representative chosen by the accused faculty member, may
279 | present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
280 | and present other evidence; however, as this is an administrative hearing, formal rules of
281 | evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
282 | probative value in determining the issues involved.
- 283 |
284 | 6. The ~~burden of proof~~ standard of proof is clear and convincing evidence. The burden of
285 | demonstrating that misconduct occurred is on the representative of the Office of Legal Counsel,
286 | and the accused faculty member is presumed to be innocent.
- 287 |
288 | 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
289 | and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
290 | regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
291 | Faculty Hearing Panel dissents with the majority decision, that member may submit a written
292 | explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
293 | including dissents, and the panel's decision to the Provost, the Dean,~~—~~, the accused faculty
294 | member, and the General Counsel.
- 295 |
296 | 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
297 | recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
298 | guilt.
- 299 |
300 | 9. If the Faculty Hearing Panel does not finds that the accused faculty member is ~~not~~ guilty of
301 | misconduct, the case is closed unless the dean submits a written appeal of the innocent decision
302 | based on substantive errors in the faculty hearing panel process or errors in interpretation of fact
303 | or law-.
- 304 |
305 | 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
306 | proceedings.
- 307 |
308 | 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
309 | these proceedings.
- 310 |

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G. Appeals

This section covers appeals arising out of the decision and nonbinding recommendations from the Faculty Hearing Panel and the sanctions recommended by the Provost. 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. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or innocence shall be final. The complainant, if known, shall be informed by General Counsel of the decision ~~by General Counsel~~, to the extent required by law.
2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost, the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to serve, the President shall appoint a replacement. In the event that the Academic Ombud or the Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s). Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.
3. The faculty member and the dean will be provided with copies of the written appeal and given an opportunity to respond in writing.
4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports the factual findings.
5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written brief detailing the basis for the appeal and providing supporting evidence attesting to the validity of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy of this brief and may submit a written response brief within seven (7) days.
6. The Faculty Disciplinary Appeals Panel will render a final decision- within seven (7) days of the submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the appellant and the appellee are notified of the Appeal Panel's decision and the reasons for the decision. If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the Executive Committee of the Board of Trustees.
7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is closed.
8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing Panel found the faculty member to be innocent, but the decision was reversed on appeal, there will be no Faculty Hearing Panel recommendation). The Provost will send notification of the sanctions decision to the Dean, the University faculty member, the General Counsel, and the Complainant, if known.

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9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the accused faculty member may appeal the Provost's decision regarding any sanction to the President. On an appeal of a particular sanction, the President will consider whether the determination is reasonable in light of sanctions imposed on similarly situated staff members and similarly situated faculty in other colleges. The President will render a final decision regarding a sanction or sanctions within seven (7) days.
 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has expired or the President has rendered his decision.
 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent required by law.
 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section B.7 1

V. Retaliation

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Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual because he or she engaged in a protected activity including but not limited to reporting discrimination or participating in an investigation of a discrimination report. (See AR 6.1)

VI. Administrative Leave ~~With~~with Pay during the Process

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At any time during the process beginning with receipt of an allegation, the Provost, after consultation with and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with pay. The Provost may impose additional conditions as part of the administrative leave with pay.

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1. The Provost will impose involuntary administrative leave with pay only if the Provost determines that there is a risk that the accused faculty member's continued assignment to regular duties or presence on campus may cause harm to others in the University community, impede the investigation, or create a risk of continuing misconduct.
 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the Board of Trustees.
 3. The accused faculty member may appeal the imposition of involuntary administrative leave with pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.

References and Related Materials

Revision History

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For questions, contact: Office of Legal Counsel

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Main document changes and comments

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The General Counsel will transmit the report to the Dean of the faculty member's college.		
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A faculty member may elect to bring an advisor to the meeting with the Dean and chair.		
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Faculty members who occupy a position of administrative supervision over faculty personnel (<i>i.e.</i> , individuals with greater than or equal to 50% administrative effort or individuals with an administrative assignment at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool.		
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1_Senator Tagavi Amendments



[Sent to SC 4/16/ 2pm]

Governing Regulation XX

Responsible Office: Office of the President and Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing Regulation

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Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

21
22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
24 Universities, academic freedom does not excuse a faculty member from complying with the rules, standards
25 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
26 Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as
27 described in paragraph 2 above.

28
29

II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

39

1_Senator Tagavi Amendments

40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, granting of —and—tenure, merit evaluation or
42 determination of merit raises. Faculty performance review and expectations for scholarly activity are
43 covered in other Administrative Regulations (AR), as well as regulations that describe for each title series
44 the expected activities and criteria for promotion and tenure.

45
46 To the extent that university administrators, including the President of the university, hold appointments
47 as faculty members, faculty administrators are subject to this regulation with respect to activities related
48 to their faculty appointment.

49
50 This regulation is separate and distinct from independent proceedings involving the enforcement of
51 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
52 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
53 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
54 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
55 regulation.

56
57 This regulation also does not describe the proceedings for the revocation of tenure or for the termination
58 of academic appointments of faculty members who do not have tenure.

59
60 The procedures established by this regulation do not supersede Governing Regulations or Administrative
61 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.

62 63 III. Entities Affected

64 This regulation will apply to all faculty members as defined in this regulation.

65 66 IV. Procedures

67 The following procedures govern the handling of misconduct by a faculty member.

68
69 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
70 university-recognized holiday or day when the University's Office of the President is closed, the deadline
71 is automatically extended to the next day when the University's Office of the President is open.

72
73 For purposes of this regulation, "written notification" means notification by formal written letter and
74 notification by electronic message.

75 76 A. Allegations

77
78 Any person may make a complaint against a faculty member by making allegations to the chair of a
79 faculty member's department, the Dean of the faculty member's college, or an appropriate university
80 official. Additionally, routine university operations, such as audits or compliance reviews, may result
81 in allegations against a faculty member.

82
83 Allegations against a faculty member by a member of the University community that are made other
84 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
85 delineated in these regulations.

86
87 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
88 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
89 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
90 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will

1_Senator Tagavi Amendments

dictate the time at which the accused faculty member is informed of the allegation. For purposes of this regulation, a dean may designate an appropriate associate dean and the General Counsel may designate an associate counsel or non-university counsel retained by the General Counsel to handle the allegation.

Allegations brought forward and adjudicated under this regulation cannot be reopened without substantive new evidence, as determined by the General Counsel, but no later than 30 days after the new evidence is discovered by university officials. [TK1] [10]

[Numbers in brackets are the order the amendments will be presented.]

B. University Investigation

Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will include findings of fact, ~~a conclusion as to whether misconduct occurred, and, if misconduct did occur, a nonbinding recommendation regarding disciplinary action (i.e., sanctions).~~ [TK2] [12] The Office(s) conducting the investigation will submit the investigation report to the General Counsel. The General Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the Complainant (if known), and the accused faculty member.

C. Notification and Mediation

1. If the report indicates misconduct has occurred, the Dean will provide written notification to the faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the faculty member with a copy of the report. The faculty member may submit a written response to the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may extend this response period by an additional fourteen (14) days on oral or written request by the faculty member.
2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which will be held within twenty-one (21) days of the Dean's notification to the faculty member. The purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that the majority of cases will be resolved at this stage through mediation.
3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the seriousness of the misconduct and neither should they be of a nature or duration as to prevent the faculty member from performing duties expected of or assigned to them. [1] Sanctions are defined, for the purposes of this entire document, as the following:

- Verbal reprimand
- Written censure
- Restitution to the University for actual monetary damage suffered by the University through misuse or unauthorized use of University property
- Loss of specific privileges including, but not limited to, loss of access to University Pro-Card or travel funds
- Removal from supervisory role and loss of title associated with that role
- Removal from named or endowed chair or professorship

1_Senator Tagavi Amendments

- Reduction in salary for a specified period of time, if greater than 10%, the sanction be approved by the board of trustees. [2]
- Demotion in rank, but only if promotion was based on a fraudulent dossier
- Suspension with ~~or without~~ [without pay is basically covered in reduction in salary above] [TK3] [3] pay for a specified period of time
- Relocation and/or loss of space currently occupied by and/or assigned to the faculty member
- Denial or curtailment of emeritus status, if applicable
- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation however the General Counsel's disapproval shall be explained in writing and be based on misapplication of law or rules and not based on an opinion on lack of severity of the sanctions. [8]
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a ~~three~~ five-person panel comprised of ~~(1) one~~ three (3) [to be true to its name, this panel should have a majority faculty member. Also if this is good for deans – see below – it should be good for faculty members.] [4-1] tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will

1_Senator Tagavi Amendments

201 notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the
202 Chair of the University Senate Council will select a faculty member at random from the Faculty
203 Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be
204 taken against real or apparent conflicts of interest on the part of potential members of the Faculty
205 Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal
206 relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The
207 panel members will be expected to state in writing that they have no conflicts of interest.
208

- 209 2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to
210 believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial
211 investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel
212 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
213 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
214 were not considered in the original investigation and that are provided by the General Counsel or
215 the faculty member. [9]
216
- 217 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
218 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
219 or dean and who will be selected at random by a uniform random number generator from the
220 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
221 and an associate provost selected by the Provost.
222
- 223 4. If the allegation involves a faculty employee holding an administration position above the level of
224 either a dean or an administratively equivalent position, the procedures to be used for convening
225 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
226
- 227 5. If the allegations involve the President, the procedures will be determined by the Board of
228 Trustees in consultation with the Senate Council.
229
- 230 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
231 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
232 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
233 known), the faculty member, and the General Counsel.
234
- 235 7. If the Faculty Inquiry Panel, ~~by a majority vote, does not~~ finds that there is ~~no~~ probable cause to
236 believe misconduct has occurred, the case is dismissed. [6-1] The Faculty Inquiry Panel will
237 send Notification of this finding to the Dean, the Complainant (if known), the faculty member, and
238 the General Counsel.
239

240 F. Faculty Hearing Panel

241

- 242 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
243 by the Senate Council Chair and Vice Chair and/or SREC Chair from the Faculty Disciplinary
244 Panel Pool using a uniform random number generator. The Senate Council Chair will consult with
245 the Chair of the Department of Statistics on the selection of this uniform random number
246 generator. Faculty members who occupy a position of administrative supervision over faculty
247 personnel (*i.e.*, individuals with greater than or equal to 50% administrative effort or individuals
248 with an administrative assignment at the level of chair or above) are ineligible to serve in the
249 Faculty Disciplinary Panel Pool. A person who served on the Faculty Inquiry Panel may not serve
250 on the Faculty Hearing Panel in the same case. Any member of the Faculty Hearing Panel who
251 has personal involvement or prior factual knowledge of the case (*i.e.*, knowing something
252 pertinent to the case before it occurs publicly) will recuse himself or herself. If a Faculty Hearing
253 Panel member chooses recusal, then a new member will be chosen at random from the Pool by
254 the Senate Council Chair using a uniform random number generator. Precautions will be taken
255 against real or apparent conflicts of interest on the part of potential members of the Faculty

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Hearing Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.

2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a Faculty Hearing Panel is needed.
3. The Chair of the University Senate Council will select members of the panel at random from the Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of receiving notification from the General Counsel. The Chair of the University Senate Council will inform potential members of the Faculty Hearing Panel that the case involves a named faculty member in a particular college.
4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one member from the Panel. If either the Dean or faculty member excludes a Panel member, then the Senate Council Chair will select a new member or members at random from the Faculty Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur, the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional seven (7) days.
5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral unless the Provost extends the time period in extraordinary circumstances. The Dean, through a representative of the Office of Legal Counsel, will present the case against the faculty member. The accused faculty member, either alone or with the assistance of at most two (2) additional persons, such as an attorney and a representative chosen by the accused faculty member, may present a defense. The parties may call witnesses, cross-examine the other party's witnesses, and present other evidence; however, as this is an administrative hearing, formal rules of evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of [more probative than prejudicial](#) value in determining the issues involved. **However, all exculpatory evidence discovered by university officials must be included in the report. [7]**
6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that misconduct occurred is on the representative of the Office of Legal Counsel, and the accused faculty member is presumed to be innocent.
7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing, and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the Faculty Hearing Panel dissents with the majority decision, that member may submit a written explanation of his/her dissension. The Faculty Hearing Panel will send the written findings, including dissents, and decision to the Provost, the Dean, the accused faculty member, and the General Counsel.
8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of guilt.
9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the case is closed unless the dean submits a written appeal of the innocent decision based on substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
10. If the allegation involves the Provost, the President will assume the role of the Provost in these proceeding.

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311 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
312 these proceedings.
313

314 G. Appeals

315 This section covers appeals arising out of the decision and nonbinding recommendations from the
316 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
317 established by this regulation do not supersede Governing Regulations or Administrative
318 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
319 Committee.
320

321
322
323 1. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the
324 Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or
325 innocence shall be final. The complainant, if known, shall be informed of the decision by General
326 Counsel, to the extent required by law.
327

328 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of ~~the an~~
329 Associate Provost for Faculty Advancement ^{TK4} [11-1], the ~~Chair of the Senate Council~~ an
330 elected Senate Council member chosen by the Senate Council, [5] and the Academic Ombud. In
331 the event the Associate Provost is unable to serve, the ~~President~~Provost shall appoint a
332 replacement. In the event that the Academic Ombud or the ~~Chair member~~ of the Senate Council
333 is unable to serve, the Senate Council shall appoint replacement(s). Precautions will be taken
334 against real or apparent conflicts of interest on the part of potential members of the Faculty
335 Disciplinary Appeals Panel. Such conflicts of interest may include: administrative dependency,
336 close personal relationships, collaborative relationships, financial interest, or scientific or scholarly
337 bias. The panel members will be expected to state in writing that they have no conflicts of interest.
338

339 3. The faculty member and the dean will be provided with copies of the written appeal and given an
340 opportunity to respond in writing.
341

342 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
343 issues raised by the accused faculty member appellant (IV.F.8, F9). In determining whether the
344 factual findings are clearly erroneous, the Faculty Disciplinary Appeals Panel will determine
345 whether substantial evidence (i.e. evidence a reasonable person would accept as adequate to
346 support the conclusion) supports the factual findings.
347

348 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written
349 brief detailing the basis for the appeal and providing supporting evidence attesting to the validity
350 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy
351 of this brief and may submit a written response brief within seven (7) days.
352

353 6. The Faculty Disciplinary Appeals Panel will render a final decision- within seven (7) days of the
354 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the
355 appellant and the appellee are notified of the Panel's decision and the reasons for the decision.
356 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of
357 the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written
358 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the
359 Executive Committee of the Board of Trustees.
360

361 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is
362 closed.
363

364 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost
365 shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the

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366 Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing
367 Panel found the faculty member to be innocent, but the decision was reversed on appeal, there
368 will be no Faculty Hearing Panel recommendation). [TK5] The Provost will send notification of the
369 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
370 Complainant, if known.]

- 371
- 372 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
373 accused faculty member may appeal the Provost's decision regarding any sanction to the
374 President. On an appeal of a particular sanction, the President will consider whether the
375 determination is reasonable in light of sanctions imposed on similarly situated staff members and
376 similarly situated faculty in other colleges. The President will render a final decision regarding a
377 sanction or sanctions within seven (7) days.
- 378
- 379 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has
380 expired or the President has rendered his decision.
- 381
- 382 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
383 required by law.
- 384
- 385 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
386 B. 1
387

388 V. Retaliation

389 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
390 because he or she engaged in a protected activity including but not limited to reporting discrimination or
391 participating in an investigation of a discrimination report. (See AR 6.1)

392 VI. Administrative Leave With Pay during the Process

394 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
395 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
396 pay. The Provost may impose additional conditions as part of the administrative leave with pay.

- 397
- 398 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
399 that there is a risk that the accused faculty member's continued assignment to regular duties or
400 presence on campus may cause harm to others in the University community, impede the
401 investigation, or create a risk of continuing misconduct.
- 402
- 403 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
404 Board of Trustees.
- 405
- 406 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
407 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
408

409 References and Related Materials

410 411 412 Revision History

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414

415 For questions, contact: Office of Legal Counsel

416

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Main document changes and comments

Page 1: Inserted Tagavi, Kaveh 4/16/2015 1:44:00 PM

[Sent to SC 4/16/ 2pm]

Page 2: Inserted Sheila Brothers 4/23/2015 3:59:00 PM

granting of

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and

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, merit evaluation or determination of merit raises

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, but no later than 30 days after the new evidence is

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discovered by university officials.

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Page 3: Comment [TK1] Tagavi, Kaveh 4/16/2015 10:47:00 AM

[Else, after once a case is adjudicated, if later a new evidence is discovered, the university can forever start a new process even decades after the discovery of the new evidence. We really should allow a closure in these cases.]

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[10]

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[Numbers in brackets are the order the amendments will be presented.]

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, a conclusion as to whether misconduct occurred, and, if misconduct did occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions).

Page 3: Comment [TK2] Tagavi, Kaveh 4/16/2015 10:49:00 AM

[David Watt said on the senate floor that this part was left in there by error and agreed that it should be removed.]

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[12]

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and neither should they be of a nature or duration as to prevent the faculty member from performing duties expected of or assigned to them

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] [1]

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, if greater than 10%, the sanction be approved by the board of trustees. [2]

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or without		
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pay is basically covered in reduction in salary above] [3]		
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[with pay is basically covered in reduction in salary above]		
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however the General Counsel's dis		
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ap		
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proval shall be explained in writing and be based on misapplication of law or rules and not based on an opinion on lack of severity of the sanctions		
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[8]		
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three		
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(1) one		
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three (3) [to be true to its name, this panel should have a majority faculty member. Also if this is good for deans – see below – it should be good for faculty members.] [4-1]		
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or the faculty member		
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[9]		
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, by a majority vote,		
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does not		

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and Vice Chair and/or SREC Chair		
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more		
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than prejudicial		
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However, all exculpatory evidence discovered by university officials must be included in the report. [7]		
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the		
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an Associate		
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for Faculty Advancement		
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[IMO, it is unprecedented that the provost would sit down with subordinates and then be potentially outvoted. It lacks authenticity and it is also demeaning to the provost, IMO.]		
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[11-1]		
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Chair of the Senate Council		
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an elected Senate Council member chosen by the Senate Council		
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[5]		
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Associate		
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President		
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Provost		

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Chair

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member

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accused faculty member

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appellant (IV.F.8, F9)

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[Without the ability of the dean to appeal a not guilty decision this is a balanced process since it includes panel (members) that are independent of the administration. But if the dean appeals and the Appeals panel sides with the dean then that balance is disturbed.]

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Text Box changes

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Footnote changes

Endnote changes

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UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing Regulation

1
2
3

Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

21
22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
24 Universities, academic freedom does not excuse a faculty member from complying with the rules, standards
25 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
26 Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as
27 described in paragraph 2 above.

28
29

II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

39

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40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
43 regulations that describe for each title series the expected activities and criteria for promotion and tenure.
44

45 To the extent that university administrators, including the President of the university, hold appointments
46 as faculty members, faculty administrators are subject to this regulation with respect to activities related
47 to their faculty appointment.
48

49 This regulation is separate and distinct from independent proceedings involving the enforcement of
50 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
51 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
54 regulation.
55

56 This regulation also does not describe the proceedings for the revocation of tenure or for the termination
57 of academic appointments of faculty members who do not have tenure.
58

59 The procedures established by this regulation do not supersede Governing Regulations or Administrative
60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.
61

62 III. Entities Affected

63 This regulation will apply to all faculty members as defined in this regulation.
64

65 IV. Procedures

66 The following procedures govern the handling of misconduct by a faculty member.
67

68 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
69 university-recognized holiday or day when the University's Office of the President is closed, the deadline
70 is automatically extended to the next day when the University's Office of the President is open.
71

72 For purposes of this regulation, "written notification" means notification by formal written letter and
73 notification by electronic message.
74

75 A. Allegations

76
77 Any person may make a complaint against a faculty member by making allegations to the chair of a
78 faculty member's department, the Dean of the faculty member's college, or an appropriate university
79 official. Additionally, routine university operations, such as audits or compliance reviews, may result
80 in allegations against a faculty member.
81

82 Allegations against a faculty member by a member of the University community that are made other
83 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
84 delineated in these regulations.
85

86 If the accused faculty member is a dean, then the Provost shall take the place of the Dean of the
87 accused faculty member's college in this and all subsequent procedures^[scb1].
88

89 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
90 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the

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91 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
92 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will
93 dictate the time at which the accused faculty member is informed of the allegation. For purposes of
94 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
95 designate an associate counsel or non-university counsel retained by the General Counsel to handle
96 the allegation.

97
98 Allegations brought forward and adjudicated under this regulation cannot be reopened without
99 substantive new evidence, as determined by the General Counsel.

100 101 B. University Investigation

102
103 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
104 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
105 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
106 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
107 occur, a nonbinding recommendation regarding disciplinary action (i.e., sanctions). The Office(s)
108 conducting the investigation will submit the investigation report to the General Counsel. The General
109 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
110 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
111 Complainant (if known), and the accused faculty member.

112 113 C. Notification and Mediation

- 114
115 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
116 faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the
117 faculty member with a copy of the report. The faculty member may submit a written response to
118 the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may
119 extend this response period by an additional fourteen (14) days on oral or written request by the
120 faculty member.
- 121
122 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
123 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
124 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
125 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
126 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
127 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
128 the majority of cases will be resolved at this stage through mediation.
- 129
130 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
131 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
132 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
133 as the following:
- 134
135
- 136 • Verbal reprimand
 - 137 • Written censure
 - 138 • Restitution to the University for actual monetary damage suffered by the University
139 through misuse or unauthorized use of University property
 - 140 • Loss of specific privileges including, but not limited to, loss of access to University Pro-
141 Card or travel funds
 - 142 • If indicated by the circumstances, requirement to undergo assessment for behavioral
143 or mental disorders by an appropriate professional, and, if the professional determines
144 that treatment is indicated, requirement to undergo such [treatment]^[scb2].
 - 145 • Removal from supervisory role and loss of title associated with that role
 - Removal from named or endowed chair or professorship

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- Reduction in salary for a specified period of time
- Demotion in rank, but only if promotion was based on a fraudulent dossier
- Suspension with or without pay for a specified period of time
- Relocation and/or loss of space currently occupied by and/or assigned to the faculty member
- Denial or curtailment of emeritus status, if applicable
- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or

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201 scientific or scholarly bias. The panel members will be expected to state in writing that they have
202 no conflicts of interest.

- 203
- 204 2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to
205 believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial
206 investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel
207 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
208 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
209 were not considered in the original investigation and that are provided by the General Counsel.
210
- 211 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
212 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
213 or dean and who will be selected at random by a uniform random number generator from the
214 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
215 and an associate provost selected by the Provost.
216
- 217 4. If the allegation involves a faculty employee holding an administration position above the level of
218 either a dean or an administratively equivalent position, the procedures to be used for convening
219 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
220
- 221 5. If the allegations involve the President, the procedures will be determined by the Board of
222 Trustees in consultation with the Senate Council.
223
- 224 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
225 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
226 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
227 known), the faculty member, and the General Counsel.
228
- 229 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
230 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
231 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
232 Counsel.
233

234 F. Faculty Hearing Panel

- 235
- 236 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
237 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
238 number generator. The Senate Council Chair will consult with the Chair of the Department of
239 Statistics on the selection of this uniform random number generator. Faculty members who
240 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
241 greater than or equal to 50% administrative effort or individuals with an administrative assignment
242 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
243 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
244 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
245 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
246 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
247 a new member will be chosen at random from the Pool by the Senate Council Chair using a
248 uniform random number generator. Precautions will be taken against real or apparent conflicts of
249 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
250 may include: administrative dependency, close personal relationships, collaborative relationships,
251 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
252 writing that they have no conflicts of interest.
253
- 254 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
255 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a

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256 Faculty Hearing Panel is needed.

- 257
- 258 3. The Chair of the University Senate Council will select members of the panel at random from the
- 259 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
- 260 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
- 261 receiving notification from the General Counsel. The Chair of the University Senate Council will
- 262 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
- 263 member in a particular college.
- 264
- 265 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
- 266 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
- 267 Senate Council Chair will select a new member or members at random from the Faculty
- 268 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
- 269 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
- 270 seven (7) days.
- 271
- 272 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
- 273 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
- 274 representative of the Office of Legal Counsel, will present the case against the faculty member.
- 275 The accused faculty member, either alone or with the assistance of at most two (2) additional
- 276 persons, such as an attorney and a representative chosen by the accused faculty member, may
- 277 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
- 278 and present other evidence; however, as this is an administrative hearing, formal rules of
- 279 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
- 280 probative value in determining the issues involved.
- 281
- 282 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
- 283 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
- 284 faculty member is presumed to be innocent.
- 285
- 286 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
- 287 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
- 288 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
- 289 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
- 290 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
- 291 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
- 292 General Counsel.
- 293
- 294 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
- 295 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
- 296 guilt.
- 297
- 298 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
- 299 case is closed unless the dean submits a written appeal of the innocent decision based on
- 300 substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
- 301
- 302 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
- 303 proceeding.
- 304
- 305 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
- 306 these proceedings.

307 G. Appeals

308 This section covers appeals arising out of the decision and nonbinding recommendations from the

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311 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
312 established by this regulation do not supersede Governing Regulations or Administrative
313 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
314 Committee.
315

- 316 1. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the
317 Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or
318 innocence shall be final. The complainant, if known, shall be informed of the decision by General
319 Counsel, to the extent required by law.
320
- 321 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost,
322 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to
323 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the
324 Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s).
325 Precautions will be taken against real or apparent conflicts of interest on the part of potential
326 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include:
327 administrative dependency, close personal relationships, collaborative relationships, financial
328 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that
329 they have no conflicts of interest.
330
- 331 3. The faculty member and the dean will be provided with copies of the written appeal and given an
332 opportunity to respond in writing.
333
- 334 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
335 issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly
336 erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence
337 (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports
338 the factual findings.
339
- 340 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written
341 brief detailing the basis for the appeal and providing supporting evidence attesting to the validity
342 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy
343 of this brief and may submit a written response brief within seven (7) days.
344
- 345 6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the
346 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the
347 appellant and the appellee are notified of the Panel's decision and the reasons for the decision.
348 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of
349 the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written
350 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the
351 Executive Committee of the Board of Trustees.
352
- 353 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is
354 closed.
355
- 356 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost
357 shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the
358 Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing
359 Panel found the faculty member to be innocent, but the decision was reversed on appeal, there
360 will be no Faculty Hearing Panel recommendation). The Provost will send notification of the
361 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
362 Complainant, if known.
363
- 364 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
365 accused faculty member may appeal the Provost's decision regarding any sanction to the

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366 President. On an appeal of a particular sanction, the President will consider whether the
367 determination is reasonable in light of sanctions imposed on similarly situated staff members and
368 similarly situated faculty in other colleges. The President will render a final decision regarding a
369 sanction or sanctions within seven (7) days.

371 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has
372 expired or the President has rendered his decision.

374 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
375 required by law.

376 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
377 B., 1
378
379

380 V. Retaliation

381 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
382 because he or she engaged in a protected activity including but not limited to reporting discrimination or
383 participating in an investigation of a discrimination report. (See AR 6.1)
384

385 VI. Administrative Leave With Pay during the Process

386 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
387 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
388 pay. The Provost may impose additional conditions as part of the administrative leave with pay.
389

- 390 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
391 that there is a risk that the accused faculty member's continued assignment to regular duties or
392 presence on campus may cause harm to others in the University community, impede the
393 investigation, or create a risk of continuing misconduct. The restrictions that the Provost imposes
394 on a faculty member on administrative leave with pay shall be no greater than necessary for
395 amelioration of the risks perceived by the Provost.
396
- 397 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
398 Board of Trustees.
399
- 400 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
401 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
402

403 References and Related Materials

404 405 406 Revision History

407
408
409 For questions, contact: Office of Legal Counsel
410

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Main document changes and comments

Page 2: Inserted Robert Grossman 4/20/2015 10:45:00 AM

If the accused faculty member is a dean, then the Provost shall take the place of the Dean of the accused faculty member's college in this and all subsequent procedures

Page 2: Comment [scb1] Sheila Brothers 4/27/2015 10:45:00 AM

Rationale is to make sure that deans are subject to the same disciplinary process as other faculty members. Also provides recourse in cases of collusion between chairs and deans. Not that that is likely ever to happen.

Page 2: Inserted Robert Grossman 4/20/2015 10:45:00 AM

Page 3: Inserted Robert Grossman 4/20/2015 10:43:00 AM

If indicated by the circumstances, requirement to undergo assessment for behavioral or mental disorders by an appropriate professional, and, if the professional determines that treatment is indicated, requirement to undergo such treatment

Page 3: Comment [scb2] Sheila Brothers 4/27/2015 10:45:00 AM

Sometimes inappropriate behavior indicates an underlying problem. Catching someone engaging in misconduct might be used as an opportunity to get someone some needed help.

I'm certainly open to other wording that might accomplish the same purpose.

Page 3: Inserted Sheila Brothers 4/27/2015 10:45:00 AM

Page 8: Inserted Robert Grossman 4/20/2015 10:47:00 AM

The restrictions that the Provost imposes on a faculty member on administrative leave with pay shall be no greater than necessary for amelioration of the risks perceived by the Provost.

Header and footer changes

Text Box changes

Header and footer text box changes

Footnote changes

Endnote changes

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UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing Regulation

1
2
3

Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

21
22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
24 Universities, academic freedom does not excuse a faculty member from complying with the rules,
25 standards and procedures that arise under federal and state laws, statutes, and regulations, University
26 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
27 jurisdictions (GR II.A), as described in paragraph 2 above.

28
29

II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

39

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40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
43 regulations that describe for each title series the expected activities and criteria for promotion and tenure.
44

45 To the extent that university administrators, including the President of the university, hold appointments
46 as faculty members, faculty administrators are subject to this regulation with respect to activities related
47 to their faculty appointment.
48

49 This regulation is separate and distinct from independent proceedings involving the enforcement of
50 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
51 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
54 regulation.
55

56 This regulation also does not describe the proceedings for the revocation of tenure or for the termination
57 of academic appointments of faculty members who do not have tenure.
58

59 The procedures established by this regulation do not supersede Governing Regulations or Administrative
60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.
61

62 III. Entities Affected

63 This regulation will apply to all faculty members as defined in this regulation.
64

65 IV. Procedures

66 The following procedures govern the handling of misconduct by a faculty member.
67

68 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
69 university-recognized holiday or day when the University's Office of the President is closed, the deadline
70 is automatically extended to the next day when the University's Office of the President is open.
71

72 For purposes of this regulation, "written notification" means notification by formal written letter and
73 notification by electronic message.
74

75 A. Allegations

76
77 Any person may make a complaint against a faculty member by making allegations to the chair of a
78 faculty member's department, the Dean of the faculty member's college, or an appropriate university
79 official. If the allegations involve a criminal activity, then the complaint must occur within the Statute
80 of Limitations as defined by state and/or federal law. If allegations do not involve criminal activity,
81 then the complaint must occur within twelve (12) months or 365 days of the alleged behavior.
82 Additionally, routine university operations, such as audits or compliance reviews, may result in
83 allegations against a faculty member.
84

85 Allegations against a faculty member by a member of the University community that are made other
86 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
87 delineated in these regulations.
88

89 Allegations that are clearly related to issues of academic freedom (e.g. complaints about a faculty
90 member's topic(s) of research or teaching materials) may be dismissed at the Dean's discretion

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91 | without need for involvement of General Counsel.

92
93 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
94 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
95 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
96 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will
97 dictate the time at which the accused faculty member is informed of the allegation. For purposes of
98 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
99 designate an associate counsel or non-university counsel retained by the General Counsel to handle
100 the allegation.

101
102 Allegations brought forward and adjudicated under this regulation cannot be reopened without
103 substantive new evidence, as determined by the General Counsel.

104 B. University Investigation

105
106 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
107 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
108 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
109 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
110 occur, a nonbinding recommendation regarding disciplinary action (i.e., sanctions). The Office(s)
111 conducting the investigation will submit the investigation report to the General Counsel. The General
112 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
113 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
114 Complainant (if known), and the accused faculty member.

115 C. Notification and Mediation

116
117
118
119 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
120 faculty member as soon as feasible and preferably within two (2) business days. The Dean will
121 provide the faculty member with a copy of the report. The faculty member may submit a written
122 response to the Dean and General Counsel within seven (7) business days of confirmed receipt
123 notification by the Dean. The Dean may extend this response period by an additional fourteen
124 (14) days on oral or written request by the faculty member. If a faculty member is away from the
125 university for approved business travel, annual leave, family leave or sick leave, or is unavailable
126 to respond for any other university-approved absence, these time-periods for response are
127 extended by the duration of travel or leave.

128
129 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
130 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
131 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
132 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
133 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
134 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
135 the majority of cases will be resolved at this stage through mediation. If a faculty member is away
136 from the university for approved business travel, annual leave, family leave or sick leave, or is
137 unavailable to respond for any other university-approved absence, these time-periods for
138 response are extended by the duration of travel or leave.

139
140 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
141 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
142 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
143 as the following:

- 144 • Verbal reprimand

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- Written censure
- Restitution to the University for actual monetary damage suffered by the University through misuse or unauthorized use of University property
- Loss of specific privileges including, but not limited to, loss of access to University Pro-Card or travel funds
- Removal from supervisory role and loss of title associated with that role
- Removal from named or endowed chair or professorship
- Reduction in salary for a specified period of time
- Demotion in rank, but only if promotion was based on a fraudulent dossier
- Suspension with or without pay for a specified period of time
- Relocation and/or loss of space currently occupied by and/or assigned to the faculty member
- Denial or curtailment of emeritus status, if applicable
- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for

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201 the associate provost is to ensure a balance in evaluating cases across colleges. The General
202 Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry
203 Panel and the Chair of the University Senate Council will select a faculty member at random from
204 the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator.
205 Precautions will be taken against real or apparent conflicts of interest on the part of potential
206 members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative
207 dependency, close personal relationships, collaborative relationships, financial interest, or
208 scientific or scholarly bias. The panel members will be expected to state in writing that they have
209 no conflicts of interest.

- 210
211 2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to
212 believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial
213 investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel
214 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
215 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
216 were not considered in the original investigation and that are provided by the General Counsel.
217
- 218 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
219 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
220 or dean and who will be selected at random by a uniform random number generator from the
221 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
222 and an associate provost selected by the Provost.
223
- 224 4. If the allegation involves a faculty employee holding an administration position above the level of
225 either a dean or an administratively equivalent position, the procedures to be used for convening
226 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
227
- 228 5. If the allegations involve the President, the procedures will be determined by the Board of
229 Trustees in consultation with the Senate Council.
230
- 231 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
232 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
233 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
234 known), the faculty member, and the General Counsel.
235
- 236 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
237 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
238 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
239 Counsel.
240

241 F. Faculty Hearing Panel

242

- 243 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
244 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
245 number generator. The Senate Council Chair will consult with the Chair of the Department of
246 Statistics on the selection of this uniform random number generator. Faculty members who
247 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
248 greater than or equal to 50% administrative effort or individuals with an administrative assignment
249 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
250 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
251 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
252 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
253 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
254 a new member will be chosen at random from the Pool by the Senate Council Chair using a
255 uniform random number generator. Precautions will be taken against real or apparent conflicts of

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256 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
257 may include: administrative dependency, close personal relationships, collaborative relationships,
258 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
259 writing that they have no conflicts of interest.

- 260
- 261 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
262 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a
263 Faculty Hearing Panel is needed.
- 264
- 265 3. The Chair of the University Senate Council will select members of the panel at random from the
266 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
267 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
268 receiving notification from the General Counsel. The Chair of the University Senate Council will
269 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
270 member in a particular college.
- 271
- 272 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
273 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
274 Senate Council Chair will select a new member or members at random from the Faculty
275 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
276 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
277 seven (7) days.
- 278
- 279 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
280 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
281 representative of the Office of Legal Counsel, will present the case against the faculty member.
282 The accused faculty member, either alone or with the assistance of at most two (2) additional
283 persons, such as an attorney and a representative chosen by the accused faculty member, may
284 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
285 and present other evidence; however, as this is an administrative hearing, formal rules of
286 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
287 probative value in determining the issues involved.
- 288
- 289 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
290 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
291 faculty member is presumed to be innocent.
- 292
- 293 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
294 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
295 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
296 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
297 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
298 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
299 General Counsel.
- 300
- 301 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
302 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
303 guilt.
- 304
- 305 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
306 case is closed unless the dean submits a written appeal of the innocent decision based on
307 substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
- 308
- 309 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
310 proceeding.

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- 311
312 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
313 these proceedings.

314
315 G. Appeals

316
317 This section covers appeals arising out of the decision and nonbinding recommendations from the
318 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
319 established by this regulation do not supersede Governing Regulations or Administrative
320 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
321 Committee.

- 322
323 1. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the
324 Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or
325 innocence shall be final. The complainant, if known, shall be informed of the decision by General
326 Counsel, to the extent required by law.
- 327
328 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost,
329 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to
330 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the
331 Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s).
332 Precautions will be taken against real or apparent conflicts of interest on the part of potential
333 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include:
334 administrative dependency, close personal relationships, collaborative relationships, financial
335 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that
336 they have no conflicts of interest.
- 337
338 3. The faculty member and the dean will be provided with copies of the written appeal and given an
339 opportunity to respond in writing.
- 340
341 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
342 issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly
343 erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence
344 (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports
345 the factual findings.
- 346
347 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written
348 brief detailing the basis for the appeal and providing supporting evidence attesting to the validity
349 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy
350 of this brief and may submit a written response brief within seven (7) days.
- 351
352 6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the
353 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the
354 appellant and the appellee are notified of the Panel's decision and the reasons for the decision.
355 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of
356 the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written
357 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the
358 Executive Committee of the Board of Trustees.
- 359
360 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is
361 closed.
- 362
363 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost
364 shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the
365 Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing

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366 Panel found the faculty member to be innocent, but the decision was reversed on appeal, there
367 will be no Faculty Hearing Panel recommendation). The Provost will send notification of the
368 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
369 Complainant, if known.
370

- 371 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
372 accused faculty member may appeal the Provost's decision regarding any sanction to the
373 President. On an appeal of a particular sanction, the President will consider whether the
374 determination is reasonable in light of sanctions imposed on similarly situated staff members and
375 similarly situated faculty in other colleges. The President will render a final decision regarding a
376 sanction or sanctions within seven (7) days.
377
- 378 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has
379 expired or the President has rendered his decision.
380
- 381 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
382 required by law.
383
- 384 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
385 B., 1
386

387 V. Retaliation

388 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
389 because he or she engaged in a protected activity including but not limited to reporting discrimination or
390 participating in an investigation of a discrimination report. (See AR 6.1)
391

392 VI. Administrative Leave With Pay during the Process

393 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
394 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
395 pay. The Provost may impose additional conditions as part of the administrative leave with pay.
396

- 397 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
398 that there is a risk that the accused faculty member's continued assignment to regular duties or
399 presence on campus may cause harm to others in the University community, impede the
400 investigation, or create a risk of continuing misconduct.
401
- 402 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
403 Board of Trustees.
404
- 405 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
406 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
407

408 References and Related Materials

409 410 411 Revision History

3_Senator C. Lee Amendments

414 For questions, contact: Office of Legal Counsel
415

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Main document changes and comments

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If the allegations involve a criminal activity, then the complaint must occur within the Statute of Limitations as defined by state and/or federal law. If allegations do not involve criminal activity, then the complaint must occur within twelve (12) months or 365 days of the alleged behavior.

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Allegations that are clearly related to issues of academic freedom (e.g. complaints about a faculty member's topic(s) of research or teaching materials) may be dismissed at the Dean's discretion without need for involvement of General Counsel.

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If a faculty member is away from the university for approved business travel, annual leave, family leave or sick leave, or is unavailable to respond for any other university-approved absence, these time-periods for response are extended by the duration of travel or leave.

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If a faculty member is away from the university for approved business travel, annual leave, family leave or sick leave, or is unavailable to respond for any other university-approved absence, these time-periods for response are extended by the duration of travel or leave.

Header and footer changes

Text Box changes

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Footnote changes

Endnote changes

4_Senator Bailey Amendments (on behalf of a non-senator)



UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing Regulation

1
2
3

Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

21
22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
24 Universities, academic freedom does not excuse a faculty member from complying with the rules, standards
25 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
26 Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as
27 described in paragraph 2 above.

28
29

II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

39

4_Senator Bailey Amendments (on behalf of a non-senator)

40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
43 regulations that describe for each title series the expected activities and criteria for promotion and tenure.
44

45 To the extent that university administrators, including the President of the university, hold appointments
46 as faculty members, faculty administrators are subject to this regulation with respect to activities related
47 to their faculty appointment.
48

49 This regulation is separate and distinct from independent proceedings involving the enforcement of
50 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
51 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
54 regulation.
55

56 This regulation also does not describe the proceedings for the revocation of tenure or for the termination
57 of academic appointments of faculty members who do not have tenure.
58

59 The procedures established by this regulation do not supersede Governing Regulations or Administrative
60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.
61

62 III. Entities Affected

63 This regulation will apply to all faculty members as defined in this regulation.
64

65 IV. Procedures

66 The following procedures govern the handling of misconduct by a faculty member.
67

68 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
69 university-recognized holiday or day when the University's Office of the President is closed, the deadline
70 is automatically extended to the next day when the University's Office of the President is open.
71

72 For purposes of this regulation, "written notification" means notification by formal written letter and
73 notification by electronic message.
74

75 A. Allegations

76
77 Any person may make a complaint against a faculty member by making allegations to the chair of a
78 faculty member's department, the Dean of the faculty member's college, or an appropriate university
79 official. Additionally, routine university operations, such as audits or compliance reviews, may result
80 in allegations against a faculty member.
81

82 Allegations against a faculty member by a member of the University community that are made other
83 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
84 delineated in these regulations.
85

86 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
87 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
88 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
89 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will
90 dictate the time at which the accused faculty member is informed of the allegation. For purposes of

4_Senator Bailey Amendments (on behalf of a non-senator)

91 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
92 designate an associate counsel or non-university counsel retained by the General Counsel to handle
93 the allegation.

94
95 Allegations brought forward and adjudicated under this regulation cannot be reopened without
96 substantive new evidence, as determined by the General Counsel.

97 98 B. University Investigation

99
100 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
101 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
102 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
103 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
104 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s)
105 conducting the investigation will submit the investigation report to the General Counsel. The General
106 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
107 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
108 Complainant (if known), and the accused faculty member.

109 110 C. Notification and Mediation^[scb1]

111
112 1. If the report indicates misconduct has occurred, the Dean will provide written notification to
113 the faculty member as soon as feasible and preferably within two (2) days. The Dean will
114 provide the faculty member with a copy of the report. The faculty member may submit a
115 written response to the Dean and General Counsel within ~~seven (7)~~fourteen (14^[scb2]) days of
116 notification by the Dean. The Dean ~~may shall~~^[scb3] extend this response period by an additional
117 fourteen (14) days on oral or written request by the faculty member.

118
119 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
120 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
121 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
122 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
123 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
124 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
125 the majority of cases will be resolved at this stage through mediation.

126
127 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
128 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
129 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
130 as the following:

- 131
132
- 133 • Verbal reprimand
 - 134 • Written censure
 - 135 • Restitution to the University for actual monetary damage suffered by the University
136 through misuse or unauthorized use of University property
 - 137 • Loss of specific privileges including, but not limited to, loss of access to University Pro-
138 Card or travel funds
 - 139 • Removal from supervisory role and loss of title associated with that role
 - 140 • Removal from named or endowed chair or professorship
 - 141 • Reduction in salary for a specified period of time
 - 142 • Demotion in rank, but only if promotion was based on a fraudulent dossier
 - 143 • Suspension with or without pay for a specified period of time
 - 144 • Relocation and/or loss of space currently occupied by and/or assigned to the faculty
145 member
 - Denial or curtailment of emeritus status, if applicable

4_Senator Bailey Amendments (on behalf of a non-senator)

- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.
2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel

4_Senator Bailey Amendments (on behalf of a non-senator)

201 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
202 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
203 were not considered in the original investigation and that are provided by the General Counsel.
204

- 205 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
206 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
207 or dean and who will be selected at random by a uniform random number generator from the
208 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
209 and an associate provost selected by the Provost.
210
- 211 4. If the allegation involves a faculty employee holding an administration position above the level of
212 either a dean or an administratively equivalent position, the procedures to be used for convening
213 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
214
- 215 5. If the allegations involve the President, the procedures will be determined by the Board of
216 Trustees in consultation with the Senate Council.
217
- 218 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
219 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
220 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
221 known), the faculty member, and the General Counsel.
222
- 223 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
224 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
225 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
226 Counsel.
227

228 F. Faculty Hearing Panel

- 229 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
230 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
231 number generator. The Senate Council Chair will consult with the Chair of the Department of
232 Statistics on the selection of this uniform random number generator. Faculty members who
233 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
234 greater than or equal to 50% administrative effort or individuals with an administrative assignment
235 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
236 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
237 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
238 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
239 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
240 a new member will be chosen at random from the Pool by the Senate Council Chair using a
241 uniform random number generator. Precautions will be taken against real or apparent conflicts of
242 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
243 may include: administrative dependency, close personal relationships, collaborative relationships,
244 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
245 writing that they have no conflicts of interest.
246
- 247 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
248 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a
249 Faculty Hearing Panel is needed.
250
- 251 3. The Chair of the University Senate Council will select members of the panel at random from the
252 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
253 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
254 receiving notification from the General Counsel. The Chair of the University Senate Council will
255

4_Senator Bailey Amendments (on behalf of a non-senator)

256 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
257 member in a particular college.

- 258
- 259 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
260 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
261 Senate Council Chair will select a new member or members at random from the Faculty
262 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
263 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
264 seven (7) days.
- 265
- 266 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
267 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
268 representative of the Office of Legal Counsel, will present the case against the faculty member.
269 The accused faculty member, either alone or with the assistance of at most two (2) additional
270 persons, such as an attorney and a representative chosen by the accused faculty member, may
271 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
272 and present other evidence; however, as this is an administrative hearing, formal rules of
273 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
274 probative value in determining the issues involved.
- 275
- 276 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
277 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
278 faculty member is presumed to be innocent.
- 279
- 280 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
281 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
282 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
283 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
284 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
285 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
286 General Counsel.
- 287
- 288 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
289 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
290 guilt.
- 291
- 292 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
293 case is closed unless the dean submits a written appeal of the innocent decision based on
294 substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
- 295
- 296 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
297 proceeding.
- 298
- 299 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
300 these proceedings.

301 G. Appeals

302 This section covers appeals arising out of the decision and nonbinding recommendations from the
303 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
304 established by this regulation do not supersede Governing Regulations or Administrative
305 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
306 Committee.

- 307
- 308
- 309
- 310 1. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the

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311 Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or
312 innocence shall be final. The complainant, if known, shall be informed of the decision by General
313 Counsel, to the extent required by law.
314

- 315 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost,
316 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to
317 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the
318 Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s).
319 Precautions will be taken against real or apparent conflicts of interest on the part of potential
320 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include:
321 administrative dependency, close personal relationships, collaborative relationships, financial
322 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that
323 they have no conflicts of interest.
324
- 325 3. The faculty member and the dean will be provided with copies of the written appeal and given an
326 opportunity to respond in writing.
327
- 328 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
329 issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly
330 erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence
331 (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports
332 the factual findings.
333
- 334 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written
335 brief detailing the basis for the appeal and providing supporting evidence attesting to the validity
336 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy
337 of this brief and may submit a written response brief within seven (7) days.
338
- 339 6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the
340 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the
341 appellant and the appellee are notified of the Panel's decision and the reasons for the decision.
342 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of
343 the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written
344 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the
345 Executive Committee of the Board of Trustees.
346
- 347 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is
348 closed.
349
- 350 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost
351 shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the
352 Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing
353 Panel found the faculty member to be innocent, but the decision was reversed on appeal, there
354 will be no Faculty Hearing Panel recommendation). The Provost will send notification of the
355 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
356 Complainant, if known.
357
- 358 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
359 accused faculty member may appeal the Provost's decision regarding any sanction to the
360 President. On an appeal of a particular sanction, the President will consider whether the
361 determination is reasonable in light of sanctions imposed on similarly situated staff members and
362 similarly situated faculty in other colleges. The President will render a final decision regarding a
363 sanction or sanctions within seven (7) days.
364
- 365 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has

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366 expired or the President has rendered his decision.

367
368 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
369 required by law.

370
371 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
372 B., 1

374 V. Retaliation

375 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
376 because he or she engaged in a protected activity including but not limited to reporting discrimination or
377 participating in an investigation of a discrimination report. (See AR 6.1)

379 VI. Administrative Leave With Pay during the Process

380 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
381 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
382 pay. The Provost may impose additional conditions as part of the administrative leave with pay.

- 383
- 384 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
385 that there is a risk that the accused faculty member's continued assignment to regular duties or
386 presence on campus may cause harm to others in the University community, impede the
387 investigation, or create a risk of continuing misconduct.
 - 388
 - 389 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
390 Board of Trustees.
 - 391
 - 392 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
393 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
 - 394

395 References and Related Materials

398 Revision History

399
400 For questions, contact: Office of Legal Counsel

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_4Bailey_OBO_DRAFT GR_Faculty Disciplinary Action_sen.docx

Main document changes and comments

Page 3: Comment [scb1] Sheila Brothers 4/28/2015 3:47:00 PM

I do not know how to make a change in this time notification to be fair to 9 and 10 month appointment faculty (are they required to check university email when not teaching?). They likely do not check their campus mailbox, and if they leave on vacation for the time they are not doing University work, then a mail notification to their home address might not constitute "notice" either.)

Page 3: Deleted Sheila Brothers 4/24/2015 10:38:00 AM

seven (7)

Page 3: Inserted Sheila Brothers 4/24/2015 10:38:00 AM

fourteen (14)

Page 3: Comment [scb2] Sheila Brothers 4/28/2015 3:47:00 PM

In cases of serious allegations, a faculty member should have the time to find and consult their own legal counsel to provide this important initial written response. Seven calendar days (5 working days for an attorney) is too short a time period to 1) retain counsel and 2) have their assistance in reviewing what might be complicated charges and 3) draft a response. Faculty should have the appropriate time and opportunity to obtain counsel in defending against an allegation.

Page 3: Deleted Sheila Brothers 4/24/2015 10:39:00 AM

may

Page 3: Inserted Sheila Brothers 4/24/2015 10:39:00 AM

shall

Page 3: Comment [scb3] Sheila Brothers 4/28/2015 3:47:00 PM

Extending the faculty response period should not be a choice by a Dean. This is especially important if the original time limit is not extended past seven calendar days (see above change).

Header and footer changes

Text Box changes

Header and footer text box changes

Footnote changes

Endnote changes

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UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing Regulation

1
2
3

Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

21
22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
24 Universities, academic freedom does not excuse a faculty member from complying with the rules, standards
25 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
26 Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as
27 described in paragraph 2 above.

28
29

II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

39

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40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
43 regulations that describe for each title series the expected activities and criteria for promotion and tenure.
44

45 To the extent that university administrators, including the President of the university, hold appointments
46 as faculty members, faculty administrators are subject to this regulation with respect to activities related
47 to their faculty appointment.
48

49 This regulation is separate and distinct from independent proceedings involving the enforcement of
50 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
51 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
54 regulation.
55

56 This regulation also does not describe the proceedings for the revocation of tenure or for the termination
57 of academic appointments of faculty members who do not have tenure.
58

59 The procedures established by this regulation do not supersede Governing Regulations or Administrative
60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.
61

62 III. Entities Affected

63 This regulation will apply to all faculty members as defined in this regulation.
64

65 IV. Procedures

66 The following procedures govern the handling of misconduct by a faculty member.
67

68 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
69 university-recognized holiday or day when the University's Office of the President is closed, the deadline
70 is automatically extended to the next day when the University's Office of the President is open.
71

72 For purposes of this regulation, "written notification" means notification by formal written letter and
73 notification by electronic message.
74

75 A. Allegations

76
77 Any person may make a complaint against a faculty member by making allegations to the chair of a
78 faculty member's department, the Dean of the faculty member's college, or an appropriate university
79 official. Additionally, routine university operations, such as audits or compliance reviews, may result
80 in allegations against a faculty member.
81

82 Allegations against a faculty member by a member of the University community that are made other
83 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
84 delineated in these regulations.
85

86 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
87 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
88 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
89 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will
90 dictate the time at which the accused faculty member is informed of the allegation. For purposes of

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91 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
92 designate an associate counsel or non-university counsel retained by the General Counsel to handle
93 the allegation.

94
95 Allegations brought forward and adjudicated under this regulation cannot be reopened without
96 substantive new evidence, as determined by the General Counsel.

97 98 B. University Investigation

99
100 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
101 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
102 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
103 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
104 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s)
105 conducting the investigation will submit the investigation report to the General Counsel. The General
106 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
107 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
108 Complainant (if known), and the accused faculty member.

109 110 C. Notification and Mediation

- 111
112 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
113 faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the
114 faculty member with a copy of the report. The faculty member may submit a written response to
115 the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may
116 extend this response period by an additional fourteen (14) days on oral or written request by the
117 faculty member.
- 118
119 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
120 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
121 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
122 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
123 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
124 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
125 the majority of cases will be resolved at this stage through mediation.
- 126
127 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
128 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
129 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
130 as the following:
- 131
- 132 • Verbal reprimand
 - 133 • Written censure
 - 134 • Restitution to the University for actual monetary damage suffered by the University
135 through misuse or unauthorized use of University property
 - 136 • Loss of specific privileges including, but not limited to, loss of access to University Pro-
137 Card or travel funds
 - 138 • Removal from supervisory role and loss of title associated with that role
 - 139 • Removal from named or endowed chair or professorship
 - 140 • Reduction in salary for a specified period of time
 - 141 • Demotion in rank, but only if promotion was based on a fraudulent dossier
 - 142 • Suspension with or without pay for a specified period of time
 - 143 • Relocation and/or loss of space currently occupied by and/or assigned to the faculty
144 member
 - 145 • Denial or curtailment of emeritus status, if applicable

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- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.
2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel

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201 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
202 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
203 were not considered in the original investigation and that are provided by the General Counsel.
204

- 205 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
206 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
207 or dean and who will be selected at random by a uniform random number generator from the
208 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
209 and an associate provost selected by the Provost.
210
- 211 4. If the allegation involves a faculty employee holding an administration position above the level of
212 either a dean or an administratively equivalent position, the procedures to be used for convening
213 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
214
- 215 5. If the allegations involve the President, the procedures will be determined by the Board of
216 Trustees in consultation with the Senate Council.
217
- 218 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
219 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
220 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
221 known), the faculty member, and the General Counsel.
222
- 223 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
224 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
225 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
226 Counsel.
227

228 F. Faculty Hearing Panel

- 229 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
230 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
231 number generator. The Senate Council Chair will consult with the Chair of the Department of
232 Statistics on the selection of this uniform random number generator. Faculty members who
233 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
234 greater than or equal to 50% administrative effort or individuals with an administrative assignment
235 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
236 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
237 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
238 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
239 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
240 a new member will be chosen at random from the Pool by the Senate Council Chair using a
241 uniform random number generator. Precautions will be taken against real or apparent conflicts of
242 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
243 may include: administrative dependency, close personal relationships, collaborative relationships,
244 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
245 writing that they have no conflicts of interest.
246
- 247 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
248 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a
249 Faculty Hearing Panel is needed.
250
- 251 3. The Chair of the University Senate Council will select members of the panel at random from the
252 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
253 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
254 receiving notification from the General Counsel. The Chair of the University Senate Council will
255

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256 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
257 member in a particular college.

- 258
- 259 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
260 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
261 Senate Council Chair will select a new member or members at random from the Faculty
262 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
263 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
264 seven (7) days.
- 265
- 266 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
267 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
268 representative of the Office of Legal Counsel, will present the case against the faculty member.
269 The accused faculty member, either alone or with the assistance of at most two (2) additional
270 persons, such as an attorney and a representative chosen by the accused faculty member, may
271 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
272 and present other evidence; however, as this is an administrative hearing, formal rules of
273 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
274 probative value in determining the issues involved.
- 275
- 276 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
277 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
278 faculty member is presumed to be innocent.
- 279
- 280 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
281 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
282 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
283 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
284 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
285 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
286 General Counsel.
- 287
- 288 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
289 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
290 guilt.
- 291
- 292 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
293 case is closed. The Dean may request the case be reopened when conditions of G.1.b are met.
294 ~~unless^[scb1] the dean submits a written appeal of the innocent decision based on substantive~~
295 ~~errors in the faculty hearing panel process or errors in interpretation of fact or law.~~
- 296
- 297 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
298 proceeding.
- 299
- 300 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
301 these proceedings.

302 G. Appeals

303 This section covers appeals arising out of the decision and nonbinding recommendations from the
304 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
305 established by this regulation do not supersede Governing Regulations or Administrative
306 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
307 Committee.
308
309
310

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311 ~~1. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the~~
312 ~~Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or~~
313 ~~innocence shall be final. The complainant, if known, shall be informed of the decision by General~~
314 ~~Counsel, to the extent required by law.~~

315 1a. Finding of Guilt. If the Panel finds the accused faculty member guilty, the accused faculty
316 member may appeal within seven (7) days of receipt of the Hearing Panel's decision determining
317 guilt. If the faculty member does not file an appeal, the decision of the Faculty Hearing Panel as
318 to guilt or innocence will be final.

319
320 1b. Finding of Innocence. In accordance with Section IV.A above, allegations brought forward and
321 adjudicated to the finding of innocence a Dean can cause the case be reopened for new
322 adjudication, when there is substantive new evidence as determined by the General Counsel.

323 ~~4.~~

324
325 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost,
326 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to
327 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the
328 Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s).
329 Precautions will be taken against real or apparent conflicts of interest on the part of potential
330 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include:
331 administrative dependency, close personal relationships, collaborative relationships, financial
332 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that
333 they have no conflicts of interest.

334
335 ~~3. The faculty member and the dean will be provided with a copy copies of the written appeal and~~
336 ~~given an opportunity to respond in writing within seven (7) days.:~~

337
338 4. 3. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
339 issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly
340 erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence
341 (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports
342 the factual findings.

343
344 ~~5.4.~~ When a party the accused appeals to the Faculty Disciplinary Appeals Panel, the party
345 accused must submit a written brief detailing the basis for the appeal and providing supporting
346 evidence attesting to the validity of the appeal. The party that prevailed at the Faculty Hearing
347 Panel dean will be provided with a copy of this brief and may submit a written response brief
348 within seven (7) days.

349
350 ~~6.5.~~ The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days
351 of the submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing
352 Panel, the appellant and the appellee are notified of the Panel's decision and the reasons for the
353 decision. If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the
354 decision of the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a
355 written justification for the reversal to the Faculty Hearing Panel, the University Senate Council,
356 and the Executive Committee of the Board of Trustees.

357
358 ~~7.6.~~ If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the
359 matter is closed.

360
361 ~~8.7.~~ If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the
362 Provost shall impose sanctions. In determining sanctions, the Provost is guided, but not bound,
363 by the Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty
364 Hearing Panel found the faculty member to be innocent, but the decision was reversed on appeal,
365 there will be no Faculty Hearing Panel recommendation). The Provost will send notification of the

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366 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
367 Complainant, if known.

368
369 ~~9.8.~~ Within seven (7) days of receipt of the Provost's decision regarding a sanction or
370 sanctions, the accused faculty member may appeal the Provost's decision regarding any sanction
371 to the President. On an appeal of a particular sanction, the President will consider whether the
372 determination is reasonable in light of sanctions imposed on similarly situated staff members and
373 similarly situated faculty in other colleges. The President will render a final decision regarding a
374 sanction or sanctions within seven (7) days.

375
376 ~~10.9.~~ The sanction or sanctions will not take effect until the time to appeal the sanction or
377 sanctions has expired or the President has rendered his decision.

378
379 ~~11.10.~~ The complainant, if known, shall be informed of the decision by General Counsel to the
380 extent required by law.

381
382 ~~12.11.~~ Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI
383 Section B., 1
384

V. Retaliation

386 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
387 because he or she engaged in a protected activity including but not limited to reporting discrimination or
388 participating in an investigation of a discrimination report. (See AR 6.1)
389

VI. Administrative Leave With Pay during the Process

391 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
392 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
393 pay. The Provost may impose additional conditions as part of the administrative leave with pay.
394

- 395 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
396 that there is a risk that the accused faculty member's continued assignment to regular duties or
397 presence on campus may cause harm to others in the University community, impede the
398 investigation, or create a risk of continuing misconduct.
- 399 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
400 Board of Trustees.
- 401 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
402 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
403
404
405

References and Related Materials

Revision History

407
408
409
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411 For questions, contact: [Office of Legal Counsel](#)
412
413

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Main document changes and comments

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. [The Dean may request the case be reopened when conditions of G.1.b are met.](#)

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There has been much discussion about the whether the dean ought have a standing to appeal a decision of innocence by the Faculty Hearing Panel. At present, there appear to be two widely dichotomous views on resolving that question, one being the dean has a standing to appeal the case to an Appeals Panel (within certain narrow procedural grounds) and the other being that a dean ought have no standing to cause the case to continue by the dean appealing a finding of innocence.

There may be a third way to navigate the wording, perhaps to the begrudging satisfaction of parties on either side. The third way takes advantage of that it is already a provision elsewhere in the draft (IV.A, para. 4) that if there is substantive new information, that a case can be reopened back at the procedural step of assessment of whether the new information warrants activating an investigation (IV.B) and subsequent processes. Thus, in deference to administration, there is a mechanism available to a dean. However, in deference to faculty, it must be a factually substantive reason for additional investigation and not pretextual exercise of the Appeals Panel.

I have attached here some wordsmithing on what an amendment might look like to the current draft before the Senate, that makes explicit at the step of appeal, that only the faculty member has access to exercise the Appeal Panel, but a dean is not stymied from reopening an adjudicated case when substantive new information has become available.

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1.

[1a. Finding of Guilt. If the Panel finds the accused faculty member guilty, the accused faculty member may appeal within seven \(7\) days of receipt of the Hearing Panel's decision determining guilt. If the faculty member does not file an appeal, the decision of the Faculty Hearing Panel as to guilt or innocence will be final.](#)

[1b. Finding of Innocence. In accordance with Section IV.A above, allegations brought](#)

5_Senator Tagavi Amendments (on behalf of a non-senator)

forward and adjudicated to the finding of innocence a Dean can cause the case be reopened for new adjudication, when there is substantive new evidence as determined by the General Counsel.

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5_Senator Tagavi Amendments (on behalf of a non-senator)

~~within seven (7) days.~~

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[the accused](#)

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5_Senator Tagavi Amendments (on behalf of a non-senator)

Footnote changes

Endnote changes

6_Senator Xenos Amendments



UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing

1
2
3

Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

21
22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
24 Universities, academic freedom does not excuse a faculty member from complying with the rules, standards
25 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
26 Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as
27 described in paragraph 2 above.

28
29

II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

39

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40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
43 regulations that describe for each title series the expected activities and criteria for promotion and tenure.
44

45 To the extent that university administrators, including the President of the university, hold appointments
46 as faculty members, faculty administrators are subject to this regulation with respect to activities related
47 to their faculty appointment.
48

49 This regulation is separate and distinct from independent proceedings involving the enforcement of
50 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
51 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
54 regulation.
55

56 This regulation also does not describe the proceedings for the revocation of tenure or for the termination
57 of academic appointments of faculty members who do not have tenure.
58

59 The procedures established by this regulation do not supersede Governing Regulations or Administrative
60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.
61

62 III. Entities Affected

63 This regulation will apply to all faculty members as defined in this regulation.
64

65 IV. Procedures

66 The following procedures govern the handling of misconduct by a faculty member.
67

68 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
69 university-recognized holiday or day when the University's Office of the President is closed, the deadline
70 is automatically extended to the next day when the University's Office of the President is open.
71

72 For purposes of this regulation, "written notification" means notification by formal written letter and
73 notification by electronic message.
74

75 A. Allegations

76
77 Any person may make a complaint against a faculty member by making allegations to the chair of a
78 faculty member's department, the Dean of the faculty member's college, or an appropriate university
79 official. Additionally, routine university operations, such as audits or compliance reviews, may result
80 in allegations against a faculty member. There will be no investigation of anonymous allegations.
81

82 Allegations against a faculty member by a member of the University community that are made other
83 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
84 delineated in these regulations.
85

86 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
87 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
88 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
89 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will
90 dictate the time at which the accused faculty member is informed of the allegation. For purposes of

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91 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
92 designate an associate counsel or non-university counsel retained by the General Counsel to handle
93 the allegation.

94
95 Allegations brought forward and adjudicated under this regulation cannot be reopened without
96 substantive new evidence, as determined by the General Counsel.

97 98 B. University Investigation

99
100 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
101 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
102 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
103 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
104 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s)
105 conducting the investigation will submit the investigation report to the General Counsel. The General
106 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
107 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
108 Complainant (if known), and the accused faculty member.

109 110 C. Notification and Mediation

- 111
112 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
113 faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the
114 faculty member with a copy of the report. The faculty member may submit a written response to
115 the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may
116 extend this response period by an additional fourteen (14) days on oral or written request by the
117 faculty member.
- 118
119 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
120 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
121 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
122 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
123 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
124 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
125 the majority of cases will be resolved at this stage through mediation.
- 126
127 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
128 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
129 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
130 as the following:
- 131
- 132 • Verbal reprimand
 - 133 • Written censure
 - 134 • Restitution to the University for actual monetary damage suffered by the University
135 through misuse or unauthorized use of University property
 - 136 • Loss of specific privileges including, but not limited to, loss of access to University Pro-
137 Card or travel funds
 - 138 • Removal from supervisory role and loss of title associated with that role
 - 139 • Removal from named or endowed chair or professorship
 - 140 • Reduction in salary for a specified period of time
 - 141 • Demotion in rank, but only if promotion was based on a fraudulent dossier
 - 142 • Suspension with or without pay for a specified period of time
 - 143 • Relocation and/or loss of space currently occupied by and/or assigned to the faculty
144 member
 - 145 • Denial or curtailment of emeritus status, if applicable

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- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.
2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel

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201 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
202 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
203 were not considered in the original investigation and that are provided by the General Counsel.
204

- 205 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
206 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
207 or dean and who will be selected at random by a uniform random number generator from the
208 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
209 and an associate provost selected by the Provost.
210
- 211 4. If the allegation involves a faculty employee holding an administration position above the level of
212 either a dean or an administratively equivalent position, the procedures to be used for convening
213 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
214
- 215 5. If the allegations involve the President, the procedures will be determined by the Board of
216 Trustees in consultation with the Senate Council.
217
- 218 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
219 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
220 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
221 known), the faculty member, and the General Counsel.
222
- 223 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
224 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
225 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
226 Counsel.
227

228 F. Faculty Hearing Panel

- 229 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
230 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
231 number generator. The Senate Council Chair will consult with the Chair of the Department of
232 Statistics on the selection of this uniform random number generator. Faculty members who
233 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
234 greater than or equal to 50% administrative effort or individuals with an administrative assignment
235 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
236 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
237 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
238 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
239 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
240 a new member will be chosen at random from the Pool by the Senate Council Chair using a
241 uniform random number generator. Precautions will be taken against real or apparent conflicts of
242 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
243 may include: administrative dependency, close personal relationships, collaborative relationships,
244 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
245 writing that they have no conflicts of interest.
246
- 247 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
248 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a
249 Faculty Hearing Panel is needed.
250
- 251 3. The Chair of the University Senate Council will select members of the panel at random from the
252 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
253 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
254 receiving notification from the General Counsel. The Chair of the University Senate Council will
255

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256 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
257 member in a particular college.

- 258
- 259 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
260 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
261 Senate Council Chair will select a new member or members at random from the Faculty
262 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
263 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
264 seven (7) days.
- 265
- 266 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
267 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
268 representative of the Office of Legal Counsel, will present the case against the faculty member.
269 The accused faculty member, either alone or with the assistance of at most two (2) additional
270 persons, such as an attorney and a representative chosen by the accused faculty member, may
271 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
272 and present other evidence; however, as this is an administrative hearing, formal rules of
273 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
274 probative value in determining the issues involved.
- 275
- 276 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
277 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
278 faculty member is presumed to be innocent.
- 279
- 280 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
281 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
282 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
283 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
284 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
285 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
286 General Counsel.
- 287
- 288 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
289 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
290 guilt.
- 291
- 292 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
293 case is closed unless the dean submits a written appeal of the innocent decision based on
294 substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
- 295
- 296 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
297 proceeding.
- 298
- 299 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
300 these proceedings.

301 G. Appeals

302 This section covers appeals arising out of the decision and nonbinding recommendations from the
303 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
304 established by this regulation do not supersede Governing Regulations or Administrative
305 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
306 Committee.

- 307
- 308
- 309
- 310 1. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the

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311 Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or
312 innocence shall be final. The complainant, if known, shall be informed of the decision by General
313 Counsel, to the extent required by law.
314

- 315 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost,
316 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to
317 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the
318 Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s).
319 Precautions will be taken against real or apparent conflicts of interest on the part of potential
320 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include:
321 administrative dependency, close personal relationships, collaborative relationships, financial
322 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that
323 they have no conflicts of interest.
324
- 325 3. The faculty member and the dean will be provided with copies of the written appeal and given an
326 opportunity to respond in writing.
327
- 328 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
329 issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly
330 erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence
331 (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports
332 the factual findings.
333
- 334 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written
335 brief detailing the basis for the appeal and providing supporting evidence attesting to the validity
336 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy
337 of this brief and may submit a written response brief within seven (7) days.
338
- 339 6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the
340 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the
341 appellant and the appellee are notified of the Panel's decision and the reasons for the decision.
342 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of
343 the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written
344 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the
345 Executive Committee of the Board of Trustees.
346
- 347 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is
348 closed.
349
- 350 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost
351 shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the
352 Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing
353 Panel found the faculty member to be innocent, but the decision was reversed on appeal, there
354 will be no Faculty Hearing Panel recommendation). The Provost will send notification of the
355 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
356 Complainant, if known.
357
- 358 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
359 accused faculty member may appeal the Provost's decision regarding any sanction to the
360 President. On an appeal of a particular sanction, the President will consider whether the
361 determination is reasonable in light of sanctions imposed on similarly situated staff members and
362 similarly situated faculty in other colleges. The President will render a final decision regarding a
363 sanction or sanctions within seven (7) days.
364
- 365 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has

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366 expired or the President has rendered his decision.

367
368 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
369 required by law.

370
371 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
372 B., 1
373

374 V. Retaliation

375 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
376 because he or she engaged in a protected activity including but not limited to reporting discrimination or
377 participating in an investigation of a discrimination report. (See AR 6.1)
378

379 VI. Administrative Leave With Pay during the Process

380 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
381 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
382 pay. The Provost may impose additional conditions as part of the administrative leave with pay.
383

- 384 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
385 that there is a risk that the accused faculty member's continued assignment to regular duties or
386 presence on campus may cause harm to others in the University community, impede the
387 investigation, or create a risk of continuing misconduct.
388
- 389 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
390 Board of Trustees.
391
- 392 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
393 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
394

395 References and Related Materials

396 397 398 Revision History

399
400 For questions, contact: [Office of Legal Counsel](#)
401
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6_Senator Xenos Amendments

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Main document changes and comments

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There will be no investigation of anonymous allegations.

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Endnote changes

7_Senator Debski Amendments



UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation Version: New Governing Regulation

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Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

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I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence.

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22 As is consistent with the principles set forth in the professional standard of academic freedom as defined
23 by the American Association of University Professors and the Association of American Colleges and
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25 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
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27 described in paragraph 2 above.

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II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level
31 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
32 member" means an individual holding the rank of professor, associate professor, assistant professor,
33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
34 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their
35 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
36 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
38 definition of faculty in other regulations and in HR Policy 4.0.

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7_Senator Debski Amendments

40 This regulation does not apply to faculty performance review or expectations for scholarly activity for
41 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
43 regulations that describe for each title series the expected activities and criteria for promotion and tenure.
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45 To the extent that university administrators, including the President of the university, hold appointments
46 as faculty members, faculty administrators are subject to this regulation with respect to activities related
47 to their faculty appointment.
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49 This regulation is separate and distinct from independent proceedings involving the enforcement of
50 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
51 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
54 regulation.
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57 of academic appointments of faculty members who do not have tenure.
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60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.
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62 III. Entities Affected

63 This regulation will apply to all faculty members as defined in this regulation.
64

65 IV. Procedures

66 The following procedures govern the handling of misconduct by a faculty member.
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68 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
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70 is automatically extended to the next day when the University's Office of the President is open.
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72 For purposes of this regulation, "written notification" means notification by formal written letter and
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75 A. Allegations

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77 Any person may make a complaint against a faculty member by making allegations to the chair of a
78 faculty member's department, the Dean of the faculty member's college, or an appropriate university
79 official. Additionally, routine university operations, such as audits or compliance reviews, may result
80 in allegations against a faculty member.
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82 Allegations against a faculty member by a member of the University community that are made other
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84 delineated in these regulations.
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86 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
87 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
88 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
89 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will
90 dictate the time at which the accused faculty member is informed of the allegation. For purposes of

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91 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
92 designate an associate counsel or non-university counsel retained by the General Counsel to handle
93 the allegation.

94
95 Allegations brought forward and adjudicated under this regulation cannot be reopened without
96 substantive new evidence, as determined by the General Counsel.

97 98 B. University Investigation

99
100 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
101 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
102 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
103 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
104 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s)
105 conducting the investigation will submit the investigation report to the General Counsel. The General
106 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
107 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
108 Complainant (if known), and the accused faculty member.

109 110 C. Notification and Mediation

- 111
112 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
113 faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the
114 faculty member with a copy of the report. The faculty member may submit a written response to
115 the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may
116 extend this response period by an additional fourteen (14) days on oral or written request by the
117 faculty member.
- 118
119 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
120 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
121 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
122 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
123 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
124 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
125 the majority of cases will be resolved at this stage through mediation.
- 126
127 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
128 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
129 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
130 as the following:
- 131
- 132 • Verbal reprimand
 - 133 • Written censure
 - 134 • Restitution to the University for actual monetary damage suffered by the University
135 through misuse or unauthorized use of University property
 - 136 • Loss of specific privileges including, but not limited to, loss of access to University Pro-
137 Card or travel funds
 - 138 • Removal from supervisory role and loss of title associated with that role
 - 139 • Removal from named or endowed chair or professorship
 - 140 • Reduction in salary for a specified period of time
 - 141 • Demotion in rank, but only if promotion was based on a fraudulent dossier
 - 142 • Suspension with or without pay for a specified period of time
 - 143 • Relocation and/or loss of space currently occupied by and/or assigned to the faculty
144 member
 - 145 • Denial or curtailment of emeritus status, if applicable

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- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.
2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel

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201 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
202 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
203 were not considered in the original investigation and that are provided by the General Counsel.
204

- 205 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
206 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
207 or dean and who will be selected at random by a uniform random number generator from the
208 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
209 and an associate provost selected by the Provost.
210
- 211 4. If the allegation involves a faculty employee holding an administration position above the level of
212 either a dean or an administratively equivalent position, the procedures to be used for convening
213 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
214
- 215 5. If the allegations involve the President, the procedures will be determined by the Board of
216 Trustees in consultation with the Senate Council.
217
- 218 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
219 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
220 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
221 known), the faculty member, and the General Counsel.
222
- 223 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
224 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
225 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
226 Counsel.
227

228 F. Faculty Hearing Panel

- 229 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
230 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
231 number generator. The Senate Council Chair will consult with the Chair of the Department of
232 Statistics on the selection of this uniform random number generator. Faculty members who
233 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
234 greater than or equal to 50% administrative effort or individuals with an administrative assignment
235 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
236 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
237 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
238 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
239 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
240 a new member will be chosen at random from the Pool by the Senate Council Chair using a
241 uniform random number generator. Precautions will be taken against real or apparent conflicts of
242 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
243 may include: administrative dependency, close personal relationships, collaborative relationships,
244 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
245 writing that they have no conflicts of interest.
246
- 247 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
248 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a
249 Faculty Hearing Panel is needed.
250
- 251 3. The Chair of the University Senate Council will select members of the panel at random from the
252 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
253 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
254 receiving notification from the General Counsel. The Chair of the University Senate Council will
255

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256 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
257 member in a particular college.

- 258
- 259 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
260 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
261 Senate Council Chair will select a new member or members at random from the Faculty
262 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
263 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
264 seven (7) days.
- 265
- 266 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
267 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
268 representative of the Office of Legal Counsel, will present the case against the faculty member.
269 The accused faculty member, either alone or with the assistance of at most two (2) additional
270 persons, such as an attorney and a representative chosen by the accused faculty member, may
271 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
272 and present other evidence; however, as this is an administrative hearing, formal rules of
273 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
274 probative value in determining the issues involved.
- 275
- 276 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
277 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
278 faculty member is presumed to be innocent.
- 279
- 280 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
281 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
282 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
283 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
284 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
285 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
286 General Counsel.
- 287
- 288 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
289 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
290 guilt.
- 291
- 292 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
293 case is closed ~~unless the dean submits a written appeal of the innocent decision based on~~
294 ~~substantive errors in the faculty hearing panel process or errors in interpretation of fact or law.~~
- 295
- 296 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
297 proceeding.
- 298
- 299 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
300 these proceedings.

301 G. Appeals

302 This section covers appeals arising out of the decision and nonbinding recommendations from the
303 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
304 established by this regulation do not supersede Governing Regulations or Administrative
305 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
306 Committee.

- 307
- 308
- 309
- 310 1. If the faculty member ~~or Dean~~ does not file a written appeal within seven (7) days of receipt of the

7_Senator Debski Amendments

311 Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt ~~or~~
312 ~~innocence~~ shall be final. The complainant, if known, shall be informed of the decision by General
313 Counsel, to the extent required by law.
314

- 315 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost,
316 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to
317 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the
318 Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s).
319 Precautions will be taken against real or apparent conflicts of interest on the part of potential
320 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include:
321 administrative dependency, close personal relationships, collaborative relationships, financial
322 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that
323 they have no conflicts of interest.
324
- 325 3. The ~~faculty member and the~~ dean will be provided with copies of the written appeal and given an
326 opportunity to respond in writing.
327
- 328 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
329 issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly
330 erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence
331 (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports
332 the factual findings.
333
- 334 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written
335 brief detailing the basis for the appeal and providing supporting evidence attesting to the validity
336 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy
337 of this brief and may submit a written response brief within seven (7) days.
338
- 339 6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the
340 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the
341 appellant and the appellee are notified of the Panel's decision and the reasons for the decision.
342 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of
343 the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written
344 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the
345 Executive Committee of the Board of Trustees.
346
- 347 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is
348 closed.
349
- 350 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost
351 shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the
352 Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing
353 Panel found the faculty member to be innocent, but the decision was reversed on appeal, there
354 will be no Faculty Hearing Panel recommendation). The Provost will send notification of the
355 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
356 Complainant, if known.
357
- 358 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
359 accused faculty member may appeal the Provost's decision regarding any sanction to the
360 President. On an appeal of a particular sanction, the President will consider whether the
361 determination is reasonable in light of sanctions imposed on similarly situated staff members and
362 similarly situated faculty in other colleges. The President will render a final decision regarding a
363 sanction or sanctions within seven (7) days.
364
- 365 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has

7_Senator Debski Amendments

366 expired or the President has rendered his decision.

367
368 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
369 required by law.

370
371 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
372 B., 1
373

374 V. Retaliation

375 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
376 because he or she engaged in a protected activity including but not limited to reporting discrimination or
377 participating in an investigation of a discrimination report. (See AR 6.1)
378

379 VI. Administrative Leave With Pay during the Process

380 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
381 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
382 pay. The Provost may impose additional conditions as part of the administrative leave with pay.
383

- 384 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
385 that there is a risk that the accused faculty member's continued assignment to regular duties or
386 presence on campus may cause harm to others in the University community, impede the
387 investigation, or create a risk of continuing misconduct.
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- 389 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
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395 References and Related Materials

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Main document changes and comments

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faculty member and the

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8_Senator Porter Amendments (on behalf of a non-senator)



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8_Senator Porter Amendments (on behalf of a non-senator)

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8_Senator Porter Amendments (on behalf of a non-senator)

91 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
92 designate an associate counsel or non-university counsel retained by the General Counsel to handle
93 the allegation.

94
95 Allegations brought forward and adjudicated under this regulation cannot be reopened without
96 substantive new evidence, as determined by the General Counsel.

97 98 B. University Investigation

99
100 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
101 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
102 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
103 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
104 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s)
105 conducting the investigation will submit the investigation report to the General Counsel. The General
106 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
107 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
108 Complainant (if known), and the accused faculty member.

109 110 C. Notification and Mediation

- 111
112 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
113 faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the
114 faculty member with a copy of the report. The faculty member may submit a written response to
115 the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may
116 extend this response period by an additional fourteen (14) days on oral or written request by the
117 faculty member.
- 118
119 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
120 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
121 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
122 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
123 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
124 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
125 the majority of cases will be resolved at this stage through mediation.
- 126
127 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
128 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
129 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
130 as the following:
- 131
- 132 • Verbal reprimand
 - 133 • Written censure
 - 134 • Restitution to the University for actual monetary damage suffered by the University
135 through misuse or unauthorized use of University property
 - 136 • Loss of specific privileges including, but not limited to, loss of access to University Pro-
137 Card or travel funds
 - 138 • Removal from supervisory role and loss of title associated with that role
 - 139 • Removal from named or endowed chair or professorship
 - 140 • Reduction in salary for a specified period of time
 - 141 • Demotion in rank, but only if promotion was based on a fraudulent dossier
 - 142 • Suspension with or without pay for a specified period of time
 - 143 • Relocation and/or loss of space currently occupied by and/or assigned to the faculty
144 member
 - 145 • Denial or curtailment of emeritus status, if applicable

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- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.
2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel

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201 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
202 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
203 were not considered in the original investigation and that are provided by the General Counsel.
204

- 205 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
206 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
207 or dean and who will be selected at random by a uniform random number generator from the
208 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
209 and an associate provost selected by the Provost.
210
- 211 4. If the allegation involves a faculty employee holding an administration position above the level of
212 either a dean or an administratively equivalent position, the procedures to be used for convening
213 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
214
- 215 5. If the allegations involve the President, the procedures will be determined by the Board of
216 Trustees in consultation with the Senate Council.
217
- 218 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
219 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
220 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
221 known), the faculty member, and the General Counsel.
222
- 223 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
224 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
225 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
226 Counsel.
227

228 F. Faculty Hearing Panel

- 229 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
230 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
231 number generator. The Senate Council Chair will consult with the Chair of the Department of
232 Statistics on the selection of this uniform random number generator. Faculty members who
233 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
234 greater than or equal to 50% administrative effort or individuals with an administrative assignment
235 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
236 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
237 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
238 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
239 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
240 a new member will be chosen at random from the Pool by the Senate Council Chair using a
241 uniform random number generator. Precautions will be taken against real or apparent conflicts of
242 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
243 may include: administrative dependency, close personal relationships, collaborative relationships,
244 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
245 writing that they have no conflicts of interest.
246
- 247 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
248 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a
249 Faculty Hearing Panel is needed.
250
- 251 3. The Chair of the University Senate Council will select members of the panel at random from the
252 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
253 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
254 receiving notification from the General Counsel. The Chair of the University Senate Council will
255

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256 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
257 member in a particular college.

- 258
- 259 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
260 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
261 Senate Council Chair will select a new member or members at random from the Faculty
262 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
263 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
264 seven (7) days.
- 265
- 266 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
267 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
268 representative of the Office of Legal Counsel, will present the case against the faculty member.
269 The accused faculty member, either alone or with the assistance of at most two (2) additional
270 persons, such as an attorney and a representative chosen by the accused faculty member, may
271 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
272 and present other evidence; however, as this is an administrative hearing, formal rules of
273 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
274 probative value in determining the issues involved.
- 275
- 276 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
277 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
278 faculty member is presumed to be innocent.
- 279
- 280 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
281 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
282 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
283 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
284 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
285 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
286 General Counsel.
- 287
- 288 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
289 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
290 guilt.
- 291
- 292 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
293 case is closed unless the dean submits a written appeal of the innocent decision based on
294 substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
- 295
- 296 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
297 proceeding.
- 298
- 299 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
300 these proceedings.

301 G. Appeals

302 This section covers appeals arising out of the decision and nonbinding recommendations from the
303 Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures
304 established by this regulation do not supersede Governing Regulations or Administrative
305 Regulations that specifically permit appeal to, or appearances before, the Board or a Board
306 Committee.

- 307
- 308
- 309
- 310 | 1. If the faculty member or Dean does not file a written appeal within ~~seven (7)~~fourteen (14_{scb1})

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311 days of receipt of the Faculty Hearing Panel's written decision, the decision of the Faculty Hearing
312 Panel as to guilt or innocence shall be final. The complainant, if known, shall be informed of the
313 decision by General Counsel, to the extent required by law.
314

- 315 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost,
316 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to
317 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the
318 Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s).
319 Precautions will be taken against real or apparent conflicts of interest on the part of potential
320 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include:
321 administrative dependency, close personal relationships, collaborative relationships, financial
322 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that
323 they have no conflicts of interest.
324
- 325 3. The faculty member and the dean will be provided with copies of the written appeal and given an
326 opportunity to respond in writing.
327
- 328 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific
329 issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly
330 erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence
331 (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports
332 the factual findings.
333
- 334 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written
335 brief detailing the basis for the appeal and providing supporting evidence attesting to the validity
336 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy
337 of this brief and may submit a written response brief within seven (7) days.
338
- 339 6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the
340 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the
341 appellant and the appellee are notified of the Panel's decision and the reasons for the decision.
342 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of
343 the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written
344 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the
345 Executive Committee of the Board of Trustees.
346
- 347 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is
348 closed.
349
- 350 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost
351 shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the
352 Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing
353 Panel found the faculty member to be innocent, but the decision was reversed on appeal, there
354 will be no Faculty Hearing Panel recommendation). The Provost will send notification of the
355 sanctions decision to the Dean, the University faculty member, the General Counsel, and the
356 Complainant, if known.
357
- 358 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
359 accused faculty member may appeal the Provost's decision regarding any sanction to the
360 President. On an appeal of a particular sanction, the President will consider whether the
361 determination is reasonable in light of sanctions imposed on similarly situated staff members and
362 similarly situated faculty in other colleges. The President will render a final decision regarding a
363 sanction or sanctions within seven (7) days.
364
- 365 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has

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366 expired or the President has rendered his decision.

367
368 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
369 required by law.

370
371 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
372 B., 1

374 V. Retaliation

375 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
376 because he or she engaged in a protected activity including but not limited to reporting discrimination or
377 participating in an investigation of a discrimination report. (See AR 6.1)

379 VI. Administrative Leave With Pay during the Process

380 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
381 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
382 pay. The Provost may impose additional conditions as part of the administrative leave with pay.

- 383
- 384 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
385 that there is a risk that the accused faculty member's continued assignment to regular duties or
386 presence on campus may cause harm to others in the University community, impede the
387 investigation, or create a risk of continuing misconduct.
 - 388
 - 389 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
390 Board of Trustees.
 - 391
 - 392 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
393 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
 - 394

395 References and Related Materials

398 Revision History

399
400 For questions, contact: Office of Legal Counsel

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Main document changes and comments

Page 6: Deleted	Sheila Brothers	4/24/2015 4:13:00 PM
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seven (7)

Page 6: Inserted	Sheila Brothers	4/24/2015 4:13:00 PM
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fourteen (14)

Page 6: Comment [scb1]	Sheila Brothers	4/29/2015 1:56:00 PM
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I think at least 14 days would be necessary because it is entirely possible that a faculty member could be out of town for a conference, family vacation, etc., when the e-mail arrived. Having only seven days, they would probably feel they have no choice but to abandon the meeting or family vacation just to rush back to Lexington to deal with this (Imagine how freaked out somebody would be getting such an e-mail). What if the faculty member had a sick child at home to care for when the e-mail arrived? Having fourteen days would help reduce what could be some very large and harmful disruptions to that faculty member's professional and/or family obligations. I know that it says the Dean "may" allow more time to respond, and of course the Dean could certainly decide to grant the additional fourteen days, but I think it is not wise at all to count on the magnanimity of a Dean. I think 14 days should be guaranteed.

Header and footer changes

Text Box changes

Header and footer text box changes

Footnote changes

Endnote changes

9_Senator Ferrier Amendments



UNIVERSITY OF KENTUCKY® Regulations

Governing Regulation XX

Responsible Office: Office of the President and
Office of the Provost

Date Effective:

Supersedes Regulation: Version: New Governing Regulation

1
2
3

Faculty Disciplinary Policy and Procedures (DRAFT)

4 Hyper Links to be inserted later

5
6

I. Introduction

7 The University provides and sustains an environment conducive to academic achievement in all its
8 forms. Maintenance of this environment requires that faculty pursue their academic activities in
9 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of
10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its
11 academic freedom, and the central functions of the university in granting degrees and furthering creative
12 accomplishments. These relationships are also the source of the professional responsibilities of faculty.
13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of
14 these central functions.

15
16 University faculty members, like all University employees, must obey the rules, standards, and
17 procedures that arise under federal and state constitutions, statutes, and regulations, University
18 Governing and Administrative Regulations, the University Senate Rules, and other regulatory
19 jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the
20 laws and regulations described in the preceding sentence. When acting within or on behalf of the
21 University of Kentucky, faculty members shall comply with: Federal laws, regulations, and policies;
22 Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR); University and unit-
23 level policies and procedures. The University is indifferent as to a faculty member's misconduct in his/her
24 private domain only to the point at which criminal or civil disciplinary action obstructs the faculty
25 member's ability to effectively perform his/her duties^[scb1].

26
27 As is consistent with the principles set forth in the professional standard of academic freedom as defined
28 by the American Association of University Professors and the Association of American Colleges and
29 Universities, academic freedom does not excuse a faculty member from complying with the rules, standards
30 and procedures that arise under federal and state laws, statutes, and regulations, University Governing and
31 Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as
32 described in paragraph 2 above.

33
34

II. Scope

35 This regulation is applicable to all faculty members in the University community ranging from entry-level
36 faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty
37 member" means an individual holding the rank of professor, associate professor, assistant professor,
38 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the
39 aforementioned ranks. This definition applies to faculty regardless of title series appointments, their

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40 distribution-of-effort agreements, any administrative appointments in addition to faculty academic
41 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active,
42 and full-time or part-time status. The definition of university faculty in this regulation is broader than the
43 definition of faculty in other regulations and in HR Policy 4.0.

44
45 This regulation does not apply to faculty performance review or expectations for scholarly activity for
46 purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and
47 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as
48 regulations that describe for each title series the expected activities and criteria for promotion and tenure.

49
50 To the extent that university administrators, including the President of the university, hold appointments
51 as faculty members, faculty administrators are subject to this regulation with respect to activities related
52 to their faculty appointment.

53
54 This regulation is separate and distinct from independent proceedings involving the enforcement of
55 clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK
56 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the
57 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary
58 proceedings under those procedures may be subjected to additional disciplinary proceedings under this
59 regulation.

60
61 This regulation also does not describe the proceedings for the revocation of tenure or for the termination
62 of academic appointments of faculty members who do not have tenure.

63
64 The procedures established by this regulation do not supersede Governing Regulations or Administrative
65 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.

66 67 III. Entities Affected

68 This regulation will apply to all faculty members as defined in this regulation.

69 70 IV. Procedures

71 The following procedures govern the handling of misconduct by a faculty member.

72
73 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday,
74 university-recognized holiday or day when the University's Office of the President is closed, the deadline
75 is automatically extended to the next day when the University's Office of the President is open.

76
77 For purposes of this regulation, "written notification" means notification by formal written letter and
78 notification by electronic message.

79 80 A. Allegations

81
82 Any person may make a complaint against a faculty member by making allegations to the chair of a
83 faculty member's department, the Dean of the faculty member's college, or an appropriate university
84 official. Additionally, routine university operations, such as audits or compliance reviews, may result
85 in allegations against a faculty member. Although allegations may originate from a variety of sources
86 -- individuals, organizations, administrative bodies, and authorities within or outside of the University
87 community -- only allegations that unambiguously fall within and apply to the faculty member's
88 professional domain shall be advanced to the Investigation phase. All others will be referred to the
89 appropriate criminal or civil authorities (depending on severity), or dismissed altogether^[scb2].

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91 Allegations against a faculty member by a member of the University community that are made other
92 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as
93 delineated in these regulations.
94

95 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations
96 reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the
97 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2)
98 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will
99 dictate the time at which the accused faculty member is informed of the allegation. For purposes of
100 this regulation, a dean may designate an appropriate associate dean and the General Counsel may
101 designate an associate counsel or non-university counsel retained by the General Counsel to handle
102 the allegation.
103

104 Allegations brought forward and adjudicated under this regulation cannot be reopened without
105 substantive new evidence, as determined by the General Counsel.
106

107 B. University Investigation

108 Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional
109 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK
110 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will
111 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did
112 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s)
113 conducting the investigation will submit the investigation report to the General Counsel. The General
114 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds
115 nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the
116 Complainant (if known), and the accused faculty member.
117
118

119 C. Notification and Mediation

- 120
- 121 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the
122 faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the
123 faculty member with a copy of the report. The faculty member may submit a written response to
124 the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may
125 extend this response period by an additional fourteen (14) days on oral or written request by the
126 faculty member.
127
 - 128 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which
129 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The
130 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an
131 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where
132 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and
133 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that
134 the majority of cases will be resolved at this stage through mediation.
135
 - 136 3. Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted
137 (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the
138 seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document,
139 as the following:
140
 - 141 • Verbal reprimand
 - 142 • Written censure
 - 143 • Restitution to the University for actual monetary damage suffered by the University
 - 144 through misuse or unauthorized use of University property

9_Senator Ferrier Amendments

- Loss of specific privileges including, but not limited to, loss of access to University Pro-Card or travel funds
- Removal from supervisory role and loss of title associated with that role
- Removal from named or endowed chair or professorship
- Reduction in salary for a specified period of time
- Demotion in rank, but only if promotion was based on a fraudulent dossier
- Suspension with or without pay for a specified period of time
- Relocation and/or loss of space currently occupied by and/or assigned to the faculty member
- Denial or curtailment of emeritus status, if applicable
- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University

Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or cessation from specific duties or employment as distinguished from permanent severance accomplished by removal.

4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.

D. Selection of the Faculty Disciplinary Panel Pool

1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one untenured faculty member from each of the Clinical and Research Title Series at the rank of professor or associate professor.
2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.

E. Faculty Inquiry Panel

1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost. The rationale for the panel member from Human Resources is to ensure a balance in evaluating cases involving faculty *versus* those involving staff, and the rationale for the associate provost is to ensure a balance in evaluating cases across colleges. The General Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry Panel and the Chair of the University Senate Council will select a faculty member at random from

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200 the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator.
201 Precautions will be taken against real or apparent conflicts of interest on the part of potential
202 members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative
203 dependency, close personal relationships, collaborative relationships, financial interest, or
204 scientific or scholarly bias. The panel members will be expected to state in writing that they have
205 no conflicts of interest.
206

- 207 2. The Faculty Inquiry Panel is responsible for determining whether there is probable cause to
208 believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial
209 investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel
210 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not
211 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that
212 were not considered in the original investigation and that are provided by the General Counsel.
213
- 214 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include
215 three (3) tenured faculty members, who hold appointments in colleges other than that of the chair
216 or dean and who will be selected at random by a uniform random number generator from the
217 Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee;
218 and an associate provost selected by the Provost.
219
- 220 4. If the allegation involves a faculty employee holding an administration position above the level of
221 either a dean or an administratively equivalent position, the procedures to be used for convening
222 a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
223
- 224 5. If the allegations involve the President, the procedures will be determined by the Board of
225 Trustees in consultation with the Senate Council.
226
- 227 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe
228 misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry
229 Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if
230 known), the faculty member, and the General Counsel.
231
- 232 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe
233 misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification
234 of this finding to the Dean, the Complainant (if known), the faculty member, and the General
235 Counsel.
236

237 F. Faculty Hearing Panel

- 238 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random
239 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random
240 number generator. The Senate Council Chair will consult with the Chair of the Department of
241 Statistics on the selection of this uniform random number generator. Faculty members who
242 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with
243 greater than or equal to 50% administrative effort or individuals with an administrative assignment
244 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A
245 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in
246 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior
247 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs
248 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then
249 a new member will be chosen at random from the Pool by the Senate Council Chair using a
250 uniform random number generator. Precautions will be taken against real or apparent conflicts of
251 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest
252 may include: administrative dependency, close personal relationships, collaborative relationships,
253 financial interest, or scientific or scholarly bias. The panel members will be expected to state in
254

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255 writing that they have no conflicts of interest.

- 256
- 257 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is
- 258 probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a
- 259 Faculty Hearing Panel is needed.
- 260
- 261 3. The Chair of the University Senate Council will select members of the panel at random from the
- 262 Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council
- 263 Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of
- 264 receiving notification from the General Counsel. The Chair of the University Senate Council will
- 265 inform potential members of the Faculty Hearing Panel that the case involves a named faculty
- 266 member in a particular college.
- 267
- 268 4. Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one
- 269 member from the Panel. If either the Dean or faculty member excludes a Panel member, then the
- 270 Senate Council Chair will select a new member or members at random from the Faculty
- 271 Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur,
- 272 the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional
- 273 seven (7) days.
- 274
- 275 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral
- 276 unless the Provost extends the time period in extraordinary circumstances. The Dean, through a
- 277 representative of the Office of Legal Counsel, will present the case against the faculty member.
- 278 The accused faculty member, either alone or with the assistance of at most two (2) additional
- 279 persons, such as an attorney and a representative chosen by the accused faculty member, may
- 280 present a defense. The parties may call witnesses, cross-examine the other party's witnesses,
- 281 and present other evidence; however, as this is an administrative hearing, formal rules of
- 282 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of
- 283 probative value in determining the issues involved.
- 284
- 285 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that
- 286 misconduct occurred is on the representative of the Office of Legal Counsel, and the accused
- 287 faculty member is presumed to be innocent.
- 288
- 289 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing,
- 290 and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion
- 291 regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the
- 292 Faculty Hearing Panel dissents with the majority decision, that member may submit a written
- 293 explanation of his/her dissension. The Faculty Hearing Panel will send the written findings,
- 294 including dissents, and decision to the Provost, the Dean, , the accused faculty member, and the
- 295 General Counsel.
- 296
- 297 8. If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will
- 298 recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of
- 299 guilt.
- 300
- 301 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the
- 302 case is closed unless the dean submits a written appeal of the innocent decision based on
- 303 substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
- 304
- 305 10. If the allegation involves the Provost, the President will assume the role of the Provost in these
- 306 proceedings.
- 307
- 308 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in
- 309 these proceedings.

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G. Appeals

This section covers appeals arising out of the decision and nonbinding recommendations from the Faculty Hearing Panel and the sanctions recommended by the Provost. 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. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or innocence shall be final. The complainant, if known, shall be informed of the decision by General Counsel, to the extent required by law.
2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost, the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to serve, the President shall appoint a replacement. In the event that the Academic Ombud or the Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s). Precautions will be taken against real or apparent conflicts of interest on the part of potential members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, financial interest, or scientific or scholarly bias. The panel members will be expected to state in writing that they have no conflicts of interest.
3. The faculty member and the dean will be provided with copies of the written appeal and given an opportunity to respond in writing.
4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports the factual findings.
5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written brief detailing the basis for the appeal and providing supporting evidence attesting to the validity of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy of this brief and may submit a written response brief within seven (7) days.
6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the appellant and the appellee are notified of the Panel's decision and the reasons for the decision. If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the Executive Committee of the Board of Trustees.
7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is closed.
8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing Panel found the faculty member to be innocent, but the decision was reversed on appeal, there will be no Faculty Hearing Panel recommendation). The Provost will send notification of the sanctions decision to the Dean, the University faculty member, the General Counsel, and the

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365 Complainant, if known.

- 366
- 367 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the
368 accused faculty member may appeal the Provost's decision regarding any sanction to the
369 President. On an appeal of a particular sanction, the President will consider whether the
370 determination is reasonable in light of sanctions imposed on similarly situated staff members and
371 similarly situated faculty in other colleges. The President will render a final decision regarding a
372 sanction or sanctions within seven (7) days.
- 373
- 374 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has
375 expired or the President has rendered his decision.
- 376
- 377 11. The complainant, if known, shall be informed of the decision by General Counsel to the extent
378 required by law.
- 379
- 380 12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
381 B., 1
- 382

383 V. Retaliation

384 Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual
385 because he or she engaged in a protected activity including but not limited to reporting discrimination or
386 participating in an investigation of a discrimination report. (See AR 6.1)

387

388 VI. Administrative Leave With Pay during the Process

389 At any time during the process beginning with receipt of an allegation, the Provost, after consultation with
390 and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with
391 pay. The Provost may impose additional conditions as part of the administrative leave with pay.

392

- 393 1. The Provost will impose involuntary administrative leave with pay only if the Provost determines
394 that there is a risk that the accused faculty member's continued assignment to regular duties or
395 presence on campus may cause harm to others in the University community, impede the
396 investigation, or create a risk of continuing misconduct.
- 397
- 398 2. Involuntary administrative leave with pay for more than thirty (30) days requires approval of the
399 Board of Trustees.
- 400
- 401 3. The accused faculty member may appeal the imposition of involuntary administrative leave with
402 pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
- 403

404 References and Related Materials

405 406 407 **Revision History**

408
409 For questions, contact: [Office of Legal Counsel](#)

410
411

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Main document changes and comments

Page 1: Inserted **Sheila Brothers** **4/27/2015 11:16:00 AM**

When acting within or on behalf of the University of Kentucky, faculty 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. The University is indifferent as to a faculty member's misconduct in his/her private domain only to the point at which criminal or civil disciplinary action obstructs the faculty member's ability to effectively perform his/her duties.

Page 1: Comment [scb1] **Sheila Brothers** **4/27/2015 11:18:00 AM**

The Faculty Disciplinary Policy and Procedures should be amended to to establish a clear boundary between misconduct in one's professional domain (acting within or on behalf of the University) versus misconduct in one's private domain.

Page 2: Inserted **Sheila Brothers** **4/27/2015 11:18:00 AM**

Although allegations may originate from a variety of sources -- individuals, organizations, administrative bodies, and authorities within or outside of the University community -- only allegations that unambiguously fall within and apply to the faculty member's professional domain shall be advanced to the Investigation phase. All others will be referred to the appropriate criminal or civil authorities (depending on severity), or dismissed altogether.

Page 2: Comment [scb2] **Sheila Brothers** **4/27/2015 11:18:00 AM**

Given the clear separation between a faculty member's professional domain from his/her private domain, the Policy should be clear as to the locus of misconduct as a determinant of whether or not to initiate an investigation.

Header and footer changes

Text Box changes

Header and footer text box changes

Footnote changes

Endnote changes