

**Operating Rules and Procedures (ORPs)  
College of Engineering**

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## I. Introduction

135

### A. Purpose

The ORPs describe the organizational structure, policies and procedures as they relate to the governance of the College of Engineering and the orderly conduct of college faculty business. It supplements the [Governing Regulations](#), [Administrative Regulations](#), [University Senate Rules](#), and [Rules of the Graduate Faculty of the University](#), and other policies and procedures of the university to which the college and its faculty are subject. The latter regulations, rules and procedures, and changes in them, take precedence over statements in this document.

140

### B. Revision

The ORPs are subject to continuing revision. They must be reviewed by the Faculty Advisory Council and either revised or reaffirmed on appointment or reappointment of the Dean of the College. However, revisions may be made at any time, as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the College Faculty and the Office of the Provost.

150

### C. Scope

All college matters in which the faculty has power to act are governed by these Rules and Procedures. Powers of the faculty are delegated to committees or otherwise only by these ORPs. The college recognizes the presumption favoring faculty rule on those matters in which faculty have primary responsibility, including curricula, subject matter and methods of instruction, research, appointments, promotion of faculty and granting of tenure. faculty governance including college and unit faculty meetings, peer mentoring and peer evaluation of teaching, and those aspects of student life related to the educational process.

155

### D. Interpretation

These Rules and Procedures shall be interpreted consistently with applicable [Kentucky Revised Statutes](#), [Governing Regulations](#), [Administrative Regulations](#), [University Senate Rules](#), and [Rules of the Graduate Faculty of the University](#), and other policies and procedures of the university to which the college and its faculty are subject.

160

## II. College Mission

We create a world that works by generating, transferring and preserving knowledge across the engineering disciplines, and by preparing professionals ready to sustain societal well-being.

170

## III. Academic Rights and Responsibilities

### **A. Overview**

175 The University of Kentucky and the College of Engineering encourage and respect the academic  
freedom of all faculty members. Academic freedom includes freedom of inquiry, discourse,  
teaching, research, and publication. The university and the college seek to protect faculty  
members against internal and external influences that might restrict their exercise of these  
freedoms in their area of scholarly interest.

180 Faculty members are permitted and encouraged to investigate any theory, challenge any  
premise, engage in political and social debate, and express dissent. Their academic careers are  
not jeopardized by such activities unless the behaviors violate laws or university regulations,  
interfere with the normal operation of the education, research, and service programs of the  
185 university, interfere with the rights of others, or create situations that result in conflict-of-  
interest or conflict-of-commitment by the faculty member.

Faculty members who believe their academic freedom has been violated may present their  
concerns to the [Advisory Committee on Privilege and Tenure of the University](#)  
190 [Senate](#). Information regarding the termination of appointments of tenured faculty is contained  
in [Governing Regulation, Part X B.1.f](#).

### **B. Faculty Members as Citizens**

195 Faculty members have the same freedoms as other citizens ([Governing Regulation](#)  
[X.B.3.b](#)). When faculty members speak or write as citizens or as members of professional or  
other groups, they should indicate that they are not speaking for the university and should not  
use university letterhead or other material indicating a university origin.

200 Like other citizens, faculty members are free to engage in political activities. Participation in  
political activities must be consistent with the faculty members' obligations as teachers and  
scholars.

### **C. Faculty Responsibilities**

205 The College of Engineering adheres to the "The Code of Faculty Responsibilities" ([University](#)  
[Senate Rules, Section 7](#)), which applies to all faculty members and to all students and others  
with teaching and/or research assignments.

210 Respect the rights of all campus members to pursue their academic and administrative  
activities. Respect the rights of all campus members to free and orderly expression. Act with  
propriety in all dealings with members of the University community.

215 Respect the right of any member of the University community to privacy, including privacy of  
desk, carrel, and office space, and refrain from improper or false disclosure of such member's  
social or political views or activities. (It is not improper for a faculty member to make a  
disclosure upon request of a person entitled to such information.)

220 Respect the rights of all campus members to be given fair treatment and to be judged on a  
basis other than sex, race, ethnic origin, national origin, sexual orientation, color, creed,  
religion, age, or political belief. Sexual harassment is considered by the University of Kentucky  
to be one form of sexual discrimination. Unwelcome sexual advances, requests for sexual  
favors, or other verbal or physical actions of a sexual nature constitute sexual harassment when  
225 submission to such conduct is: is made explicitly or implicitly a term or condition of an  
individual's employment, promotion, or academic standing; is a basis for employment,  
promotion, or academic decisions; substantially interferes with an individual's work or  
academic performance; or creates an intimidating, hostile, or offensive academic environment.

Use the property of the University in accordance with the official rules.

230 Comply with the Governing Regulations, the Administrative Regulations, and the University  
Senate Rules.

Engage in consulting outside the University assignment only in accordance with the established  
provisions.

235 State, when speaking as a private person and the institutional affiliation is mentioned, that he  
or she does not speak for the University of Kentucky or the College of Engineering.

In addition, teaching and research personnel are expected to:

- 240 • Use the property of the university in accordance with the [Governing Regulations](#),  
[Administrative Regulations](#), [University Senate Rules](#), and [Rules of the Graduate Faculty  
of the University](#), and other policies and procedures of the university to which the  
college and its faculty are subject.
- Comply with the Governing Regulations, the Administrative Regulations, and the  
University Senate Rules.
- 245 • Engage in consulting outside the university assignment only in accordance with AR 3:9  
Consulting and Other Overload Employment.
- State, when speaking as a private person and the institutional affiliation is mentioned,  
that he or she does not speak for the University of Kentucky or the College of  
Engineering.

250 Adherence to these responsibilities is enforced under “The Code of Faculty Responsibilities”  
([University Senate Rules, Section 7](#))

#### **D. Statement of Ethics**

255 Those acting on behalf of the College of Engineering have a duty to conduct themselves in a  
manner that will maintain the public trust in the integrity of the college and the university. The

faculty and staff of the college are subject to all the expectations articulated in the University's statement of Ethical Principles and its Code of Conduct ([Governing Regulation, Part XIV](#)).

## 260 **IV. Faculty**

### **A. Overview**

265 [Administrative Regulation 2:1-1](#) defines the types of faculty appointments possible at the University of Kentucky. For purposes of governance, the college faculty includes Regular Title Series, Special Title Series, Research Title Series, Lecturer Series, and these appointments must be at least half-time (i.e. with compensated FTEs of at least 50%.) to be listed as college faculty.

### **B. College Faculty**

270 The faculty of the College of Engineering shall consist of the dean, assistant and/or associate Deans, and full-time faculty personnel having the rank of assistant professor, associate professor, or professor in the regular, special title, research title, adjunct title, or lecturer series with appointment in the college. Membership, with or without voting privileges, also may be extended or withdrawn to other persons assigned to the college for administrative, instructional or research work. Responsibilities of college faculty are those stipulated in 275 [Governing Regulation, Part VII.E.3](#).

### **C. Department Faculty**

280 Department faculty shall consist of the chairperson and the members of the department who are members of the faculty of the college. In addition, membership, with or without voting privileges, may be extended on a year-to-year basis by the department faculty to any other member of the university faculty or staff, or to any person assigned to it for administrative work, teaching, research, or service. Responsibilities of department faculty are those stipulated in [Governing Regulation VII.E.5](#).

### 285 **D. Distinguished Faculty**

Distinguished faculty members within the College of Engineering may be awarded distinguished titles in recognition of excellence in teaching, scholarship, and service. The criteria and procedures for selection of titled chairs, professorships and faculty fellowships are described in [Appendix V](#).

290

### **E. Appointment Caps**

The number of Research Title Series faculty members appointed in the college will comprise no more than 20% of the number of tenured and tenure track faculty members. Similarly, the number of Lecturer Series faculty members appointed in the college will comprise no more than 20% of the number of tenured and tenure track faculty members.

## F. Governance Rights

The following governance rights are afforded to faculty members, unless otherwise excluded by departmental governance documents.

300

**1. Regular Title Series.** Regular Title Series faculty members are eligible to vote on all non-personnel governance matters, appointment and reappointment actions for all faculty title series, and promotion and tenure actions at their own rank and below.

305

**2. Special Title Series.** Special Title Series faculty members are eligible to vote on all non-personnel governance matters, appointment and reappointment actions for all faculty title series, and promotion and tenure actions at their own rank and below.

310

**3. Research Title Series.** Research Title Series faculty members are eligible to vote on all non-personnel governance matters, appointment actions for all faculty title series except regular and special title series, and promotion actions at their own rank and below.

315

**4. Lecturer Series.** Lecturer Series faculty members are eligible to vote on all non-personnel governance matters, appointment actions for Lecturer Series only, and promotion actions at their own rank and below.

**5. Emeritus Faculty.** Emeritus faculty in the college are invited to participate in discussions on governance matters, but may not vote on any matter.

320

**6. Special Circumstances.** Because the Department of Biosystems and Agricultural Engineering (BAE) is an adjunct department in the College of Engineering, and because BAE undergraduate students are student in the College of Engineering, college faculty members from BAE shall have voting rights on matters before the college that pertain to BAE undergraduate students.

325

## V. Organization of the College Departments and Authority of the Faculty

### A. Departments

The college shall be organized into the following departments, which are Educational Units (EUs) as defined in [Governing Regulation Part VII.B.1](#): Biomedical Engineering (BME); Chemical and Materials Engineering (CME), Civil Engineering (CE); Computer Science (CS); Electrical and Computer Engineering (ECE); Mechanical Engineering (ME); and Mining Engineering (MNG). The Department of Biosystems and Agricultural and Engineering (BAE) in the College of Food, Agricultural, and Environmental Sciences is an adjunct department in the College of Engineering and is considered to be an EU within the college for the purposes of membership allocation.

335

Each EU in the college shall have an Operating Rules document that describes the organizational structure, policies and procedures as related to the governance of the EU enabling orderly conduct of business. Operating Rules documents are to contain policies



governing faculty responsibilities and teaching assignments within that EU. EU Operating Rules documents, as well as any revisions and affirmations thereto, must be approved by the EU Faculty, the Dean of the College and the Provost's Office.

The First Year Engineering (FYE) program is an administrative unit in the College with responsibility for developing and delivering a common program of instruction for first year engineering students.

The Paducah Extended Campus program is an administrative unit co-located with Western Kentucky Community and Technical College that delivers the College's undergraduate and graduate degree programs in Chemical and Mechanical Engineering and otherwise supports all aspects of the College mission at its western Kentucky location.

### **B. Authority of the Faculty**

Within the limits established by Governing Regulations, Administrative Regulations, University Senate Rules, and Rules of the Graduate Faculty of the University, the Faculty of the College of Engineering shall determine the educational policies of the college, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that the responsibility has not been delegated to a department faculty.

In consultation with the faculty of the College of Engineering, the dean shall establish procedures used at the level of the college concerning: (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint; (2) faculty performance evaluations; and (3) faculty input in the evaluation of the performance of department chairs during the interval between periodic reviews.

The faculty of the College of Engineering shall make recommendations to the University Senate or Graduate Faculty on such matters requiring the final approval of those bodies, and it may make recommendations on other matters to the University Senate, the Graduate Faculty, department faculties within the college, the President, or to other administrative officials.

The faculty of the College of Engineering may write new rules which delegate certain tasks associated with educational policy and procedures to an assembly of the college, which will consist of faculty members and designated student representatives.

## **VI. Overview of the College Administration and Decision-Making**

380 The college operates on the premise that all faculty members, staff and students have unique  
talents and skills that contribute to the pursuit of excellence, and the responsible opinions of all  
are valued and can be shared without risk of or professional retaliation. Although deliberation  
and decision-making may occur in different ways based on the nature of the issue or action, the  
authority of the Faculty (described in this document), and the administrative responsibility of  
the dean and college leadership, consensus is the preferred vehicle. Decisions are made by the  
college faculty as a whole, or by standing or ad hoc committees of the college, or by the dean;  
385 the nature and importance of any specific matter determines how the issue is to be addressed.  
College governance proceeds on the general principle that the more important the matter to be  
decided, the more widespread the agreement on a decision needs to be. Open discussions of  
formal and informal nature are encouraged and constitute the primary means of reaching  
consensus on decisions of central importance.

390

## VII. College Administration

### A. Dean of the College

395 As described in [Governing Regulation, Part VII.F.2.c](#), the “dean is the chief administrative officer  
of the college and is responsible for the enforcement of these Governing Regulations, the  
Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty, and the  
rules of the college faculty. The dean is authorized to establish and enforce such policies and  
procedures as are attendant to the administrative management of the operations of the  
college.

400

The dean is the chair of the college faculty and an ex officio member of all college committees  
except the Faculty Advisory Council and the Department Chairs Team. The dean is charged with  
overseeing the educational work of the college and its efficient conduct and management in all  
matters not specifically charged elsewhere. The dean is responsible for the implementation of  
405 the curricula of the college, for ensuring through the faculty the quality of instruction given  
therein, for the assignment of duties to all personnel, and for the service provided by the  
faculty of the college, individually and as a whole. The dean shall submit the budget request for  
the college and administer the budget after it is approved. The dean shall review faculty  
performance evaluations submitted by the department chairs and shall be responsible for  
410 recommendations on salaries, salary changes, appointments, reappointments, terminal  
appointments, post-retirement appointments, promotions, granting of tenure, and decisions  
not to reappoint for members of the college or for ultimate action thereon when such authority  
has been delegated by the president or the provost.

415 In connection with the above administrative functions, the dean shall seek the advice of the  
faculty of the college: 1) individually, 2) as a whole, 3) through the college executive committee,  
or 4) through faculty advisory committees. Staff employees shall be consulted, when

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

420

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

425

In addition to the duties described in [GR, Part VII, F.2.c](#), the dean shall appoint, pursuant to Governing Regulations, the Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty, associate and assistant deans and other administrative officers as needed to carry out the programs of the college.

430

In matters of business, finance, human resources and other areas, the dean shall seek the advice of executive college staff members whose expertise pertains to the particular matter at hand. The dean shall consider such advice in advance of any decision or action. To promote efficiency and expediency, college-level decision-making and approval authority may be delegated where permitted to the associate and assistant deans, and the college executive staff at the discretion of the dean.

435

At least annually, the dean will address the faculty of the college to present academic and strategic initiatives, budget and budgetary trends, and to recommend new or modified policies for carrying out the mission of the college.

440

## **B. Other Administrators**

The college shall have the following associate deans, assistant deans and executive staff. Individuals in these positions shall be appointed by the provost upon the recommendation of the dean. In the execution of their responsibilities, the individuals in these positions are accountable to the dean. Accountability to the dean does not abrogate, but supports, any responsibility or accountability to other offices or officers of the university as may be designated or apparent for particular duties or functions.

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450

**1. Associate Dean for Academic Affairs and Administration (ADAAA).** The ADAAA is responsible for the college's undergraduate curriculum; student recruitment, retention and well-being, scholarships/financial aid, enrollment management, graduation certification, undeclared student advising, student orientation, Engineering Career Services, Dean's List, student awards, and student organizations. Administrative responsibilities include accreditation reviews and visits (ABET and SACS). The ADAAA is the leader of the Undergraduate Education Team comprising the Departmental Directors of Undergraduate Studies and other individuals determined by the ADAAA. The ADAAA is a member of the senior leadership team of the college and may act on behalf of the dean in the dean's absence upon written delegation.

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**2. Associate Dean for Faculty Affairs and Facilities (ADFAP).** The ADFAP is responsible for recruitment, retention and advancement of faculty including faculty performance reviews, promotion and tenure reviews, internal reviews of academic departments and programs, faculty and staff awards, and associated administrative operations of the college. The ADFAP is responsible for the planning, development, administration, that supports the success and effectiveness of the College. The ADFAP serves as vice chair and secretary of the college faculty. The ADFAP also provides administrative oversight, planning, prioritization and coordination of capital projects, renovation projects and physical space inventory and management in the college. The ADFAP is the leader of the Facilities Planning Committee and determines its membership. The ADFAP is member of the senior leadership team of the college and may act on behalf of the dean in the dean's absence.

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**3. Associate Dean for Research and Graduate Studies (ADRGS).** The ADRGS is responsible for planning, development, and administration of the college research enterprise, promoting externally sponsored research, facilitating establishment of externally funded research centers, and overseeing the Engineering Research Operations and other auxiliary operations as designated. The ADRGS is the college liaison to the Office of Sponsored Projects Administration (OSPA) and the Office of the Vice President for Research (VPR). The ADRGS is responsible for the planning, development and administration of the college graduate program, including providing guidance on admissions policies, graduate student stipends, and effectiveness of program recruiting. The ADRGS is the college liaison to the Graduate School. The ADRGS is the leader of the Graduate Education Committee, comprising the departmental Directors of Graduate Studies and the Research Team. The ADRGS is member of the senior leadership team of the college and may act on behalf of the dean in the dean's absence.

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**4. Assistant Dean and Director of Fiscal Services (ADDFS).** The Director of Fiscal Services (Business Manager) is responsible for fiscal and human resources management of the college. The business manager assists the dean and associate deans in establishing financial and administrative policies; advises on university regulations and operations; and supervises the college internal administrative functions and budgetary procedures. The business manager coordinates support staff and is responsible for the fiscal integrity of the college in administering its educational and research budgets. Responsibilities include preparation and control of the general fund budget, review of research proposal budgets, coordination of equipment inventory development, supervision of the college payroll department, administration and maintenance of building security, and related duties. The business manager is the leader of the Business Managers Team and member of the senior leadership team of the college.

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### **C. Committees**

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The development and implementation of college policies and programs are carried out by standing and ad hoc committees. The dean is an ex officio member of all college committees

except the Faculty Advisory Council and the Department Chairs Team. The existing college committees and the procedures for establishing and reviewing college committees are described in [Appendix I](#).

505

#### **D. Centers**

Centers may be established to support the research and educational mission of the college. The procedures for establishing, reviewing and abolishing college research centers are described in the University [Governing Regulations](#) and summarized in [Appendix II](#).

510

### **VIII. Faculty Meetings**

#### **A. Meetings**

515 The college accepts the fundamental importance of full and free discussion but also recognizes that such discussion can only be achieved in an atmosphere of mutual respect and civility. Normally, faculty meetings will be conducted with no more formality than is needed to attain the goals of full and free discussion and the orderly conduct of business. However, Robert's Rules of Order (8<sup>th</sup> Ed) will be invoked when more formality is needed to serve these goals.

#### **B. Open Meetings**

520 [Kentucky Revised Statutes 61.805 – 61.850](#) require that all meetings of the college, its units, centers, and committees be open except when a meeting properly enters a closed session. The general requirements for open meetings include the following: announcement in advance of the time and place of the meeting, reasonable assurance that the meeting time and place is convenient to the public, recording, preservation and subsequent availability of meeting minutes, and allowance of public and news media attendance without restriction.

525

530 Portions of a meeting may be conducted in closed session by majority vote, in open session, of the members present if the subject of the closed session concerns the academic status of an individual student or student applicant, or an individual college employee or candidate.

Portions of meetings concerning general personnel, or academic policy or planning cannot be closed. Votes may be taken in closed meetings, and by secret ballot, but the numerical results must be announced openly.

535 College offices, academic units, centers, committees, and councils that convene meetings in support of the college mission shall establish procedures that conform to the requirements of the Kentucky Revised Statutes for open meetings.

#### **C. Presiding Officer**

540 The dean is the presiding officer at faculty meetings and is responsible for sending notices of meetings, including agenda, to all members of the faculty. These duties will normally be delegated to the Associate Dean for Faculty Affairs and Facilities.

**D. Scope**

545 Course actions and other non-policy matters falling outside of scope described in “Authority of  
the Faculty” (Section V.B) in this document will be acted on by the appropriate graduate  
education, undergraduate education, research or administrative team. After approval by these  
bodies, notice of this action will be circulated to the faculty with appropriate documentation. If  
550 no written objections are received from a faculty member within ten (10) days, approval will be  
assumed, and item(s) will be further processed as appropriate. If one or more faculty members  
object to the action within ten (10) days, each faculty member’s objections shall be considered  
by the appropriate office, unit or committee. Matters unresolved to the satisfaction of the  
objecting and responding parties shall be settled in a college faculty meeting or by mail or  
electronic ballot subject to the required standards of notice and balloting procedures.

555 Following approval by the college faculty, any items requiring final approval by the University  
Senate shall be forwarded by the dean.

**E. Regular Meetings**

560 Regular meetings shall be open to college faculty and staff. The faculty and staff shall meet  
upon the call of the dean, but at least once per semester. Meeting notification will be  
distributed to faculty at least 15 days prior to the meeting, along with a call for agenda items.  
Although agenda items may be submitted to the dean at any time, those received at least ten  
565 (10) days prior to a meeting date shall be included on the agenda. A final agenda and  
supporting documents and materials will be distributed to the faculty and staff at least seven  
(7) days prior to the meeting.

**F. Special meetings**

570 Special meetings may be called by the President of the University, the Provost, the Dean of the  
College, an Associate Dean in the Dean’s absence, or at the request of at least ten (10) percent  
of the college faculty by signed petition. Meeting notification will be distributed to the college  
faculty as soon as feasible, but no less than 24 hours prior to the meeting. As chairperson of  
the college faculty, the dean will preside at faculty meetings and will be responsible for sending  
575 notices of meetings, including agenda, to all members of the faculty. In the absence of the  
dean, these responsibilities shall be the duty of the Associate Dean for Faculty Affairs and  
Facilities, who will serve as presiding officer of the faculty. Minutes of each meeting will be  
recorded and made available to the college faculty within ten (10) days after the meeting. A  
permanent record shall also be kept in the college office.

580 **IX. Rules for Balloting and Elections**

**A. Quorum**

Thirty (30) percent of the Faculty shall constitute a quorum for the purposes of conducting a vote.

585

**B. Balloting Procedures**

For purposes of a formal vote, a matter will be considered decided when a particular motion is supported by at least a majority of all faculty members in attendance who are eligible to vote. Normally, matters will be decided by voice vote or by a show of hands. Upon request of any member of the faculty, votes will be counted and made part of the minutes. Either the dean or one-third of all faculty members eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. Upon request by five or more members, secret written ballots shall be utilized. When secret ballots are used, anonymity of the voters and confidentiality of their votes shall be maintained.

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Votes on matters concerned with proposed new policy or changes in policy shall be announced and supporting materials distributed to the faculty no later than ten (10) days prior to the meeting in which the proposals are to be considered or the date on which ballots on the matter are due. The determination of what is policy shall be determined by the dean in consultation with senior college leadership. Matters of policy will be considered decided when a motion on particular policy is supported by at least a majority of all faculty members in attendance who are eligible to vote.

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Balloting may be conducted by mail, e-mail or electronic survey when necessary to assure maximum participation in voting, or when circumstances may make the calling of a special faculty meeting difficult or impossible. When conducting a ballot by mail, email or electronic survey, faculty members will normally be given one week to respond. The requirements for a quorum, as well as for a majority of those voting, shall be the same as for a special faculty meeting. If not already provided, a full explanation of the matter to be decided, the reason why this method of voting is being employed, and the time limit for receipt of ballots, shall be distributed in writing (paper or electronic format) with the ballots.

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If the matter to be decided by the mail or electronic ballot had not been previously substantially deliberated at a prior faculty meeting or through other modes of two-way dialog, all faculty members shall have an opportunity to question the individual making the motion, and to propose amendments, via electronic mail with copies to the entire faculty. If necessary, new ballots shall be distributed electronically to all faculty members for inclusion with, or as a substitute for, the original ballots. The results of the balloting shall be made public as soon as feasible, and a permanent record of them shall be kept and made a part of the minutes of the next regular faculty meeting.

620

If a matter cannot be acted upon due to lack of quorum, then the dean at his or her discretion may act to adjudicate the matter behalf of the faculty. For the dean to invoke such action, the meeting where the motion was considered must have been scheduled during business hours of

625 a day on which Fall or Spring semester classes are in session. An opportunity for balloting by  
mail, email or electronic survey must have been afforded if a quorum was not achieved in the  
meeting in question, and in all cases, standards of notice for the motion, the meeting and  
balloting must have been met.

630

### **C. Appeals**

Any vote of the assembled faculty at a meeting shall be subject to appeal by a ballot of the  
entire faculty with voting rights as to that matter either upon request by thirty (30) percent of  
the faculty members present at the meeting at which the vote is taken, or upon written petition  
635 addressed to the Associate Dean for Faculty Affairs and Facilities, by twenty-five (25) faculty  
members, such petition being received at the administrative offices of the college within seven  
(7) days of the time the vote is taken. Ballots shall be distributed by the Associate Dean for  
Faculty Affairs and Facilities, who is the secretary of the college, with the Faculty Advisory  
Council acting as tabulators.

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## **X. Approved Faculty Title Series and Distribution of Duties and Responsibilities**

### **A. Introduction**

The College of Engineering Policy on distribution of duties and responsibilities for its faculty  
645 members adheres to, and is subject to, interpretation under University [Administrative  
Regulation 3:8, Appendix II](#).

To provide the breadth of academic programs required of the college, the faculty performs a  
complex combination of duties, which are referred to as “workload”. In the College of  
650 Engineering, workload comprises all faculty activities including teaching, research and creative  
activity, interaction with students, institutional and professional service, administrative service,  
service to the community, and professional development.

Workload management requires the realistic assignment of a faculty member’s time and  
655 college resources. Because of the flexible, overlapping, and complex nature of academic work,  
and because many faculty members are able to set their own schedules within a class-time  
framework, time spent in any one of the three areas of teaching, research, and service varies  
from day to day and may change from semester to semester.

660 A range of faculty appointment types, referred to as academic “title series” have been  
approved in the college to help it meet its programmatic goals. The general characteristics of  
workload have been established for each of the faculty title series approved in the college, in  
the guidelines for reappointment, promotion, and tenure within the university, and in the  
distribution of effort agreement that directs each faculty member’s work schedule. The  
665 following academic titles series are approved for the College of Engineering.



## **B. Approved Faculty Title Series**

670 **1. Regular Title Series.** ([Administrative Regulation 2:2-2](#)) Regular Title Series appointments are for appropriately qualified individuals who participate in instruction, including both formal classroom teaching activities and other activities that influence student growth; research or other creative activity; and professional, university and public service activity. Regular Title Series appointments are tenure-eligible.

675 **2. Special Title Series.** ([Administrative Regulation 2:4](#)) Special Title Series appointments are for professionally competent individuals who meet instructional and service responsibilities in selected areas, or for assignments that do not necessarily include research or creative work. The academic ranks and titles in the Special Title Series parallel those in the Regular Title Series (i.e., Instructor\*, Assistant Professor\*, Associate Professor\*, and Professor\*). The asterisk, as a superscript immediately following a title, designates that the rank and title are associated with a position in the Special Title Series. Special Title Series appointments are tenure-eligible.

685 **3. Research Title Series.** ([Administrative Regulation 2:5](#)) Research Title Series appointments are for appropriately qualified individuals who are appointed in the university's academic units but whose activities are limited to participation in projects that involve research or other creative activity. These appointments are of limited and specified duration, and are funded by contracts, grants, or other designated funds. A faculty employee appointed in the research title series faculty should not have any regularly scheduled teaching or service assignments. Research title Series appointments are not tenure-eligible.

690 **4. Lecturer Series.** ([Administrative Regulation 2:9](#)), Lecturer Series faculty members are professionally qualified teachers hired for a fixed term. Lecturer series faculty members do not have the same responsibilities and professional obligations as faculty in regular, special, or research title series. The lecturer series comprises two academic ranks: Lecturer and Senior Lecturer. Lecturer Series appointments are not tenure-eligible and shall not be made when  
695 appointment in a tenure-eligible title series is appropriate.

700 **5. Adjunct Title Series.** ([Administrative Regulation 2:8](#)) Adjunct Title Series faculty are individuals employed by a non-university agency or by the university with primary appointments in non-faculty positions or faculty appointments in another college, who contribute significantly to the instructional or research missions of the university. The phrase "Adjunct Series" is used in parentheses to modify an academic rank and title, e.g., Associate Professor (Adjunct Series) or Associate Professor of Medicine (Adjunct Series). Adjunct Title Series appointments are not tenure-eligible.

## **C. Professional Commitment**

A full-time faculty member's primary professional commitment is to the University of Kentucky, and the guidelines below are based on that commitment. Faculty members who have

710 professional commitments outside of the university during on-duty periods (including teaching  
at another institution, conducting research for an entity outside of the university, or for  
external consulting) must disclose and discuss these with their chair to ensure that no conflict  
of commitment exists. Information on faculty conflicts of commitment is described in  
[Administrative Regulation 3.9](#).

#### **D. Faculty Workload**

715 The policies on faculty workload in the College of Engineering align with university policies  
described in [Administrative Regulation 3.8: Faculty Workload Policy Statement](#).

720 **1. Expectations for Teaching.** During on-duty periods, faculty members are expected to be  
available for interaction with students, research, and departmental meetings and events even if  
they have no formal course assignment. On-duty faculty members should not be away from  
campus for extended periods of time unless on an approved leave or travel, or unless a remote  
work directive is issued by the university.

725 All faculty members whose title series includes teaching responsibilities are expected to  
contribute to teaching in their academic unit, including large enrollment and specialized  
courses in both the undergraduate and graduate curricula. The standard teaching assignment  
for full-time faculty members is determined by the faculty member's academic unit. Faculty  
members are also expected to advise undergraduate and graduate students and to supervise  
independent studies and thesis and dissertation work.

730 Adjustments to the standard teaching assignment may be made to account for new course  
development, the class size of the course, mode of delivery, percent of responsibility for the  
course, and other factors that may affect the preparation time involved in the teaching  
assignment.

735 The standard teaching assignment may vary for individual faculty members based on their  
research and/or service activity. Faculty members who are especially active in research may  
have a reduced teaching assignment. Likewise, faculty members who are relatively inactive in  
research may have an increased teaching assignment. Faculty members who are engaged in  
740 extraordinary service or administrative activities (to the department, college, university, and in  
special circumstances professional organizations within the discipline) may have a reduced  
teaching assignment.

745 Academic units are responsible for making teaching assignments on at least an annual basis and  
may decline to approve requests for adjustments when approval of such requests is not judged  
to be in the best interests of the unit, its programs or its students. All faculty members in title  
series appointments with teaching responsibilities must perform some formal instruction and  
advising over the course of the academic year.

750 **2. Expectations for Research.** All faculty members holding title series appointments with  
research responsibilities are expected to be engaged in discovery, scholarly and creative work,  
applied research, entrepreneurship and intellectual property creation related to research  
expertise and/or the scholarship of pedagogy as defined in their unit's governance documents.  
755 Faculty engaged in basic or applied research are expected to attract extramural funding that  
supports their efforts. Faculty members are also expected to seek appropriate opportunities to  
obtain patents and to engage in other commercial or entrepreneurial activities stemming from  
their research.

760 **3. Expectations for Service.** Faculty members are expected to be engaged in service and  
outreach to the university, profession and community. Specific expectations are set by the  
academic units and can be adjusted depending on the nature of the assignment. All faculty  
members are expected to attend and to participate in faculty meetings, faculty and student  
recruitment activities, and other departmental and college events.

#### 765 **E. Implementation**

Each academic unit chair is responsible to the dean for the contributions of the unit to the  
college mission areas: teaching, research and service. Chairs shall make known to the faculty  
the general guidelines on the distribution of faculty duties and responsibilities, i.e. workload  
and expectations for excellence in the discharge of those duties. General guidelines should be  
770 developed and incorporated in unit governance documents as a "workload statement". The  
workload statement should be regularly revisited through a consultative process within the unit  
to assure measurable success of the unit over time.

775 The workload statement should not be understood as a contractual obligation for individual  
faculty members. Fluctuations in the demands on and resources of the unit, and the  
characteristics and circumstances of individual faculty members will warrant deviations from  
stated guidelines.

780 Individual faculty workloads are determined by the unit chair, preferably in consultation with  
the faculty member. They are formalized through the faculty performance evaluation process  
and the university's Differentiated Distribution of Effort (DDE) process. Unit chairs shall have as  
a central principle governing the DDE process the equitable distribution of effort among unit  
faculty members. Unit chairs shall also be afforded latitude in making individual workload  
assignments to accommodate local and individual circumstances and to optimize aggregated  
785 faculty effort in support of the unit and college missions.

#### **F. Modification of Duties**

790 The College of Engineering strives to be a family-friendly unit that accommodates the many  
demands faculty members must balance. To this end, the college is committed to adhering to  
its guidelines on modification of duties to provide its faculty members flexibility in meeting  
work responsibilities associated with birth or adoption of a child, or care for an immediate

family member who has a serious health condition, or a qualifying exigency associated with an immediate family member or is called to active duty status in the military. See [Appendix IV](#) for details.

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A faculty member requesting a modification of duties and the unit chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university. Expectations must be spelled out in a memorandum of understanding that is approved by the dean.

800

## **XI. Course Offerings and Teaching Schedule**

Before each academic year, unit heads will develop a schedule of course offerings and teaching schedules in consultation with the unit faculty. While every effort will be made to accommodate the individual preferences of faculty members, the unit's first obligation is to offer the courses needed by students at times and in formats, including on-line instructional modes, most likely to meet student needs.

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To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. Subject to the procedures and authority indicated in [Section 8.1 of the Senate Rules](#), a scheduled course that does not attract a sufficient number of students to warrant its offering will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent semester.

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To the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members in parallel sections, or in each semester to assure that a sufficient number of seats and sufficient instructional expertise is available for such courses. In such cases, the instructors and the instructional team, will coordinate closely to ensure that the different sections and courses are of the same scope and rigor across the different offerings.

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## **825 XII. Leaves and Absences**

### **A. Overview**

The university policy and procedures with respect to leaves and absences are set forth in the Administrative and Governing Regulations and the Human Resources Policies and Procedures documents as noted below. The information provided below does not supersede the information in those documents.

830

**B. Vacation Leave**

835 Vacation leave policies for faculty members on 9-, 10-, 11- and 12-month appointments is described in [Administrative Regulation 3:6 Faculty Assignment and Vacation Leave Policy](#) and [Governing Regulation, Part X, Regulations Affecting Employment, Section B.2.b](#). Faculty members on 10-, 11, and 12-month appointments are entitled to twenty-two (22) working days of vacation leave with pay per assignment period. Faculty members on 9-month appointments are not entitled to vacation leave.

840

**C. Sabbatical Leave**

Sabbatical Leave, described in [Governing Regulation, Part X, Regulations Affecting Employment, Section B.2.d \(1\)](#), may be granted to faculty employees to provide opportunities for study, research, creative effort, improvement of instructional or public service capabilities and methods, and related travel in order that the quality of each recipient's service to the university may be enhanced. Faculty members who have full-time tenured appointments in the regular or special title series are eligible for sabbatical leaves after six (6) years of continuous service. Sabbatical leaves shall be approved by the president upon the recommendation of the department chair and college.

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After six (6) years of continuous eligible service, a faculty member may apply for one (1) year's sabbatical leave (academic year for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary or six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at full salary. After three (3) years of continuous eligible service, an appointee may apply for six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary.

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Sabbatical leave shall not be used as a means of augmenting personal income. A recipient may not accept gainful employment during a sabbatical leave (for an individual on an academic year assignment basis, this does not include the period of May 16 through August 15; for an individual on a ten-month or eleven-month assignment basis, this does not include the period of vacation and the one (1) or two (2) months outside the assignment period each fiscal year; for an individual on a twelve-month assignment basis, this does not include the one-month vacation period) except as follows: A fellowship, grant-in-aid, or government-sponsored exchange lectureship may be accepted for the period of the leave if acceptance shall promote the purpose of the leave and is approved by the president.

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For those on one-year sabbatical leave, additional salary not to exceed one-half of the regular academic salary may be accepted for (1) work performed during the sabbatical leave on research projects administered by the university with funds from government or private grants or contracts when the terms of the grant or contract authorize the usage of such funds, and when the work to be performed is significantly related to the studies planned for the leave; (2)

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875 work on a research grant at another university; (3) research work in a government laboratory;  
or (4) work as a research professor or associate in another university. Any such arrangements  
pursuant to this paragraph must be approved by the president. In none of the above instances  
shall a recipient's total income attributable to a sabbatical leave project exceed the individual's  
regular academic salary. Sabbatical leave shall be granted with the understanding that the  
880 recipient, following the sabbatical leave, will continue service at the university for at least one  
(1) academic year.

#### **D. Family and Medical Leave**

885 When absences for medical reasons are anticipated, faculty members are expected to complete  
an Application for Leave form as early as possible. When such absences are unexpected, the  
faculty member, or someone speaking for the faculty member, should inform the chair  
promptly so that instructional and other commitments can be met. Faculty members are always  
expected to use sick leave for any absence covered by sick leave (personal illness, illness of  
family members, medical appointments). Sick leave is a benefit to be used—not banked. For  
additional details see [Human Resources Policy and Procedure 88.0 Family and Medical Leave](#).

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#### **E. Temporary Disability Leave**

Temporary Disability Leave (TDL), described in [Governing Regulation, Part X, Regulations  
Affecting Employment, Section B.2.d \(2\)](#), may be granted to faculty members by the provost.  
Eligible faculty members who are totally disabled are entitled to six (6) months' TDL with pay.  
895 TDL with pay for more than six (6) months requires approval by the Board of Trustees.

#### **F. Special Leaves, and Leaves With and without Pay**

Special Leaves and the Special Leave approval process, described in [Human Resources Policy  
and Procedure 85.0 Special Leaves](#) and [Governing Regulation, Part X, Regulations Affecting  
Employment, Section B.2.d \(3,4\)](#), may be requested for reasons such as acquiring additional  
900 education, care of a relative in the immediate family, attendance at a professional meeting,  
temporary service to an outside agency, or other good cause. Special leaves shall be requested  
and approved before being taken, and any applicable leaves shall be taken prior to initiation of  
special leave. The department chair is responsible for receiving and evaluating requests for  
905 special leaves and forwarding these requests to the appropriate university official.

A department may approve special leave without pay up to a maximum of 10 days within a 12-  
month period. The appropriate executive vice president or provost may grant special leave with  
910 pay for a period not to exceed 30 days, or leave without pay for a period not normally more  
than one year. Special leave with pay for more than 30 days must be approved by the Board of  
Trustees.

Faculty members are expected to complete a leave request well in advance of a planned  
absence (for attendance at a professional meeting or to engage in consulting) to provide time  
915 for its consideration and approval and time to assure that instructional and other commitments

are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial.

920 **G. Educational Leave**

Educational Leave, described in [Governing Regulation, Part X, Regulations Affecting Employment, Section B.2.d \(5\)](#), may be granted to pursue an advanced degree at the University of Kentucky. Faculty members may request half-time or more leave, with proportional reduction in salary. If such educational leave for faculty development is recommended by the dean and approved by the provost, the faculty members shall be entitled to normal faculty benefits and privileges during the period of temporary change in status. Although a period of educational leave shall not be credited toward eligibility for sabbatical leave, it shall not be considered as an interruption of continuous service. Also, for non-tenured faculty members, such a period of educational leave shall not be counted as probationary period service.

930 **H. Scholarly Fellowship Leave**

Scholarly Fellowship Leave, described in [Governing Regulation, Part X, Regulations Affecting Employment, Section B.2.d \(6\)](#), may be granted to accept a scholarly fellowship that allows a faculty member to pursue a program of research, and that the funding agency will not process through the university. Faculty members may request scholarly fellowship leave with partial pay. If such leave is recommended by the dean and approved by the provost, the faculty member shall be entitled to normal faculty benefits and privileges during the period of temporary change in status. Time spent on scholarly fellowship leave shall apply toward eligibility for sabbatical leave and count as probationary period service unless the university in granting the leave and the individual accepting it agree to the contrary.

940 **I. Entrepreneurial Leave**

Entrepreneurial Leave, described in [Governing Regulation, Part X, Regulations Affecting Employment, Section B.2.d \(7\)](#), may be granted to faculty employees to engage in entrepreneurial activities and to support the efforts of faculty who wish to commercialize their discoveries. The request for entrepreneurial leave, submitted by the faculty member to his or her unit administrator, shall be accompanied by a completed and signed “Entrepreneurial Leave” form and all attachments. The period of the leave shall not normally exceed one academic year. However, the leave may be extended for a second and final year by the provost upon the recommendation of the dean. The unit administrator shall review the proposal and forward the materials to the dean of the college along with their recommendation. The dean shall forward his or her recommendation to the provost for approval. Entrepreneurial Leaves shall be reported to the Board of Trustees. Time spent on entrepreneurial leave shall not apply toward eligibility for sabbatical leave or count as probationary period service unless the university in granting the leave and the individual accepting it agree to the contrary. Time spent on entrepreneurial leave shall not otherwise be considered as an interruption of continuous service.

960 **XII. Faculty Consulting and Overload Employment Outside the University**

The College of Engineering Policy on Faculty Consulting and Other Overload Employment Outside the University conforms to the university's policy described in [Administrative Regulation 3:9 Consulting and Other Overload Employment](#). The college has an obligation to encourage its faculty to assist in the transfer of knowledge from the university into the general community. It recognizes that the effectiveness of its academic programs can be enriched by appropriate faculty involvement with social, economic, and technological activities outside the college.

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970 With appropriate prior administrative approval, a full-time faculty employee on a 9, 10, 11 or 12-month assignment may provide professional consulting services in the public interest to an individual association, governmental agency, business, or others. These activities, whether compensated or not, should not interfere with the fundamental responsibility of a faculty employee to meet regularly assigned duties and obligations to teaching, research and service, including being regularly available to students and colleagues.

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980 All activities providing supplemental compensation, including external consulting, must be approved by the department chair regardless of the source of compensation. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty may not spend more than about one business day per week on supplemental compensation activities and external consulting combined ([Administrative Regulation 3:9, Section III](#)).

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990 A faculty employee must make a request to engage in consulting to his or her department chair using [Faculty Overload Form \(F\)](#). The proposal shall indicate the specific nature of the work to be performed, the estimated amount of time involved, the duration of the assignment, and the scale of compensation, if any. The educational unit administrator's recommendation on the proposal shall be forwarded to the appropriate college dean whose recommendation, in turn, normally shall be forwarded to the provost for final action.

995 Faculty employees engaged in consulting and other overload activities must not use the name of the University of Kentucky in such a manner as to suggest institutional endorsement or support of a non-university enterprise. Requests for outside employment that involve significant use of other university personnel, facilities, or equipment should be performed on a contractual basis with the university rather than on an individual consulting basis. A faculty



employee wishing to engage in continuing consulting or other outside employment must resubmit a request annually.

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Faculty employees engaged in consulting and other overload employment activities must assure that they do not have a conflict of interest (See [Administrative Regulation 7:2 Financial Conflicts of Interest in Research](#)) and that they adhere to the policy on Ethical Standards and Misconduct in Research ([Governing Regulation X, Regulations Affecting Employment](#)) ([Administrative Regulation 7:1 Research Misconduct](#)).

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### **XIII. Financial Conflicts of Interest**

A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert an improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research. Faculty members with external funding or otherwise required by university policy are required to file conflict of interest screening forms annually and within 30 days if prospective new activities pose the possibility of financial conflicts of interest. Faculty who fail to file such forms or to cooperate with university officials in the avoidance or management of potential conflicts will be subject to disciplinary action. In addition to financial conflicts of interest, faculty must disclose any conflicts of commitment that arise in relation to consulting or other work done for external entities. Information on faculty financial conflicts of interest is presented in [Administrative Regulation 7:2, Financial Conflicts of Interest in Research](#).

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### **XIV. Grievances, Complaints and Appeals**

#### **A. Overview**

Faculty and staff members with grievances should discuss them with the department chair, who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. If the individual with the grievance is the department chair, the grievance should be discussed with the Dean or the Associate Dean for Faculty Affairs and Facilities. The content below describes procedures for the review of specific types of complaints and grievances.

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#### **B. Rights of the Complainant**

No member of the university or community shall be penalized academically or professionally for filing or processing a complaint in good faith under university policies.

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#### **C. Salary Grievances**

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the chair. The faculty or staff member should provide documentation to support the grievance.

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**D. Faculty Misconduct**

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in [Senate Rules and Regulations, Section 7, Code of Faculty Responsibilities](#).

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**E. Faculty Promotion and Tenure Appeals**

Promotion and tenure appeal procedures are set forth in [Administrative Regulation 2:1-1, Section XI](#).

**F. Sexual Misconduct**

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The university's policy and procedures related to sexual harassment misconduct are set forth in [Administrative Regulation 6:1](#).

**G. Student Complaints**

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Students with complaints involving, but not limited to unfair grading practices, harassment, perceived favoritism, cross-cultural misunderstandings and personality conflicts are encouraged, but not required, to meet with the instructor involved directly to determine if a resolution can be achieved, or the Academic Ombud if seeking resolution. In receiving such complaints, faculty members shall treat students with respect regardless of the apparent merit of the complaint and provide a considered response. In the event that such a meeting is impractical or does not remedy the matter, the student should seek a meeting with the chair of the academic unit to explain the concern. In the event that approach is impractical or does not remedy the matter, the student should seek a meeting with the Associate Dean for Academic Affairs of the college to explain the concern. When students bring complaints about courses or instructors to the chair or the associate dean, the chair or associate dean will first ascertain whether or not the matter requires confidentiality. If confidentiality is not required, the chair or the dean will investigate the matter as fully and fairly as possible and provide a response to both the student and faculty member affected. If confidentiality is required, or at the chair's or dean's discretion, that matter may be referred to the [Office of the Academic Ombud](#) for further advice.

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**H. Code of Student Conduct and Instructor Complaints**

In accordance with the [Code of Student Conduct](#), instructors will act on any observed instances of potential academic misconduct. Instructor complaints regarding students must always be handled strictly in accordance with policies and procedures described in [Chapter 6 of the University Senate Rules](#). Instructors should seek the advice and assistance of the chair and others with appropriate knowledge of policies and procedures when problematic situations arise.

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## **APPENDIX I. College Committees**

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### **A. Overview**

The dean, or the faculty of the college may each establish or abolish additional committees. The individual or group that establishes a committee has the primary responsibility to abolish it when it is no longer needed. Ordinarily, such committees should be established with a specific charge and for a limited period of existence, but some will be standing committees. Annually, the Secretary of the College shall distribute to each faculty member the membership of each standing committee. The following committees are standing committees in the College of Engineering.

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### **B. Diversity and Inclusion Committee**

The committee is broadly charged with oversight of all activities pertaining to diversity and inclusion, including programming of events, speakers, workshops and facilitated discussions. It tracks best practices nationally and serves in an advisory capacity to the dean and college leadership, and reports on a periodic basis to the College Executive Committee. The committee comprises 20 persons of mixed gender and ethnicity. Membership includes the Dean, the Associate Dean for Academic Affairs, faculty, staff and students. The committee is chaired by the Associate Dean for Faculty Affairs and Facilities.

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### **C. Senior Leadership Team**

The Senior Leadership Team is responsible for day to day management of college matters. The Senior Leadership Team is chaired by the dean, and includes the ASAAA, ADFAF, ADRGS, ADDFS, and the director of philanthropy.

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### **D. Executive Committee**

The Executive Committee is responsible for the administrative leadership of the college, and the execution of its strategic plan and all pertinent policies and procedures. The Executive Committee is chaired by the dean, and includes all Associate Deans and department chairs within the college. Other members may be added at the discretion of the dean.

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### **E. Facilities and Planning Committee**

The Committee is responsible for advising the Associate Dean for Faculty Affairs and Facilities on matters related to allocation and utilization of space used by the College of Engineering, its programs and departments, and capital projects. Membership of the committee is determined by the ADFAF but shall strive for equitable representation of programs and staff and faculty constituencies.

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### **F. Faculty Advisory Council**

The Council serves in an advisory capacity on faculty appointments, promotion and granting of tenure, evaluation, and related policy review; interpretation of the Operating Rules and Procedures of the Faculty. It is an advisory body to the dean on performance review appeals,

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1125 issues relating to the engineering library and engineering computing services, and in other areas as necessary. Members of the Council include one faculty representative (tenured professor) from each department, to be elected by the department faculty. One Council member will be elected by the members each year to serve as chairperson. The term of office of the representatives shall be three years.

**G. Graduate Education Committee**

1130 The Graduate Education Committee coordinates graduate programs and creates new initiatives for continuous improvement of the programs. Membership of the Committee includes Directors of Graduate Studies from each graduate program in the College of Engineering, at least one member of the graduate student body to be selected by the dean, and the Associate Dean for Research and Graduate Studies, who serves as Committee Chair.

**H. Research Committee**

1135 The Research Committee advises the Dean on matters concerning the college's research strategy, programs, and research centers. The Research Committee is chaired by the Associate Dean for Research and Graduate Studies and includes directors of major college research centers and department chairs or their designee so as to provide representation across the college.

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**I. Staff Council**

The Staff Council advises the dean on matters concerning the college staff. Members of the committee and its chair are appointed for two-year terms by the dean and include representation from staff throughout the college. The committee selects a rotating chair.

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**J. Undergraduate Education Committee**

1150 The Undergraduate Education Committee coordinates undergraduate programs, ensures compliance with ABET, college and university requirements, and creates new initiatives for continuous improvement of the undergraduate programs. Membership of the Committee includes Directors of Undergraduate Studies from each undergraduate program in the College of Engineering, at least one member of the undergraduate student body to be selected by the dean, and the Associate Dean for Administration and Academic Affairs, who serves as Committee Chair.

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## APPENDIX II. Overview of College Research Centers and Institutes

1160 **A. Definition of College Centers and Institutes.** Centers and institutes in the College of Engineering are constituted under the University Governing Regulations as Academic Units (AUs) and not as Educational Units (EUs).

1165 **B. Center for Aluminum Technology.** The Center for Aluminum Technology is a partnership involving the aluminum industries, the Kentucky Economic Development Cabinet, the U.S. Department of Energy, and UK. The mission of the center is to provide industry with trained personnel, new knowledge and emerging technology know-how needed to be globally competitive in the 21st century. The multidisciplinary research center trains undergraduate, graduate and postgraduate students to provide leadership in aluminum technology, develops programs in aluminum technology for non-degree students in conjunction with community colleges and technical schools, and provides research on the fabrication and use of aluminum. 1170 The center enlists the skills of researchers from a variety of disciplines, including, but not limited to, materials engineering, chemical engineering, mathematics, chemistry, electrical engineering, and mechanical engineering.

1175 **C. Center for Nanoscale Science and Engineering.** CeNSE (Center for Nanoscale Science and Engineering), formerly known as CMMED (Center for Micro-Magnetic and Electronic Devices) is a shared-use facility to encourage the development of device research at the nano-scale. CeNSE comprises facilities for basic fabrication techniques of film deposition, lithographic pattern definition, and material etching that will enable cutting-edge research in a variety of fields. For 1180 example, in addition to more conventional silicon-based transistor devices, simple metal/insulator circuit patterns that incorporate the self-assembly chemistry of tailored receptors could be used for biological sensors. Highly multi-disciplinary research efforts are strongly encouraged. This facility is a resource for Kentucky's development of both innovative academic research and the realization of emerging commercial ideas.

1185 **D. Electron Microscopy Center.** The central campus Electron Microscopy Center, located in the Advanced Science and Technology Commercialization Center (ASTeCC), houses a suite of instruments for state-of-the-art materials characterization. A variable-pressure scanning electron microscope (SEM) is outfitted with a light-element energy dispersive X-ray 1190 spectrometer (EDS) and a back-scattered diffraction camera for orientation imaging microscopy (OIM). A field-emission SEM is available for ultra-high resolution and low-voltage imaging. The facility offers two transmission electron microscopes (TEMs), one with a LaB6 gun and the other with a field-emission gun; both TEMs are outfitted with light-element EDS detectors, and the field-emission TEM has an electron energy-loss spectrometer and imaging filter. A scanning 1195 probe microscope, which can be outfitted with heating, cooling or liquid cell stages, is also available. Instrument users are trained and assisted by facility staff.

1200 **E. Kentucky Transportation Center.** Serving as the focal point in the state for interdisciplinary  
Transportation research, the Kentucky Transportation Center works closely with the Kentucky  
Transportation Cabinet, the Federal Highway Administration, and various other private and  
governmental agencies to develop innovative transportation technological advances. An  
ongoing technology-transfer program provides services to local government transportation  
agencies as well as the private sector through training programs, workshops, conferences,  
1205 technical publications, and on-site consultation. The center's research capabilities span a wide  
range of areas with a major focus on applied research and problem solving for the  
Transportation Cabinet. Its areas of expertise closely follow the traditional civil engineering  
discipline, including pavement, materials, structures, traffic/safety, geotech, construction  
management, environmental analysis, intelligent transportation systems, and policy and  
systems analysis. The center provides a myriad of opportunities for undergraduate and  
1210 graduate students to benefit from hands-on experience addressing transportation issues.

1215 **F. Institute of Research for Technology Development.** The Institute of Research for Technology  
Development (IR4TD) addresses industry problems, with a goal of technology development, by  
fulfilling all three missions of the University of Kentucky — education, research, and outreach. It  
is made up of two operations with different, yet overlapping missions.

1220 **G. Institute for Sustainable Manufacturing.** The Institute for Sustainable Manufacturing brings  
together faculty from across the College of Engineering, from other UK colleges and centers,  
and from universities in the U.S. and many foreign countries. Its goal is to pursue  
multidisciplinary research projects intended to help manufacturing achieve long-term  
profitability while offering societal benefits and without harm to the environment or to the  
needs of future generations. Researchers work closely with industry to ensure the relevance  
and practicability of the projects.

1225 **H. Vibro-Acoustics Consortium.** The Vibro-Acoustics Consortium is a group of companies that  
support noise- and vibration-related research at the University of Kentucky. The objective of  
the research is to assist the companies in understanding and using vibro-acoustic simulation  
and experimental methods. The research group is well-known for its work in muffler and  
silencer, acoustic material, simulation, and transfer path analysis research. The vibro-acoustics  
laboratory has excellent facilities including a 60 square meter hemi-anechoic chamber and  
state-of-the-art simulation software (including Siemens Virtual.Lab, MSC Actran, and ESI VA-  
1230 One), and test equipment. Consortium projects are designed to be practical, short term, and  
beneficial to the full membership. It holds two primary meetings each year in the spring and fall  
as well as several satellite meetings. Meetings are excellent opportunities to network with  
other members and have access to excellent graduate students.

1235 **I. Power and Energy Institute of Kentucky (PEIK).** The Power and Energy Institute of Kentucky  
(PEIK) attracts and educates the next generation of power and energy engineers. Established in  
2010 with multi-million dollar support from the Department of Energy (DOE), PEIK continues its

1240 activities with generous support from UK, industry, utilities, and private donors. PEIK has a revitalized nationally-acclaimed curriculum in power and energy with hundreds of annual course enrollments and issues undergraduate and graduate certificates. Research on power and energy topics, including sustainable and efficient power systems and electronics, energy storage, smart grids and buildings, and others, as well as wide outreach and collaboration with the regional and professional community are an integral part of PEIK's mission.

1245 **J. Unmanned Systems Research Consortium (USRC).** Advancement of Unmanned Systems technologies is the primary goal of the USRC. In addition to sharing resources for increasing statewide industry awareness and understanding national directions and policies, the USRC partners faculty, students and businesses to focus on development and performance evaluation of systems, platforms, components, sensors, and software.

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## Appendix III: Establishment and Review of College Centers and Institutes

### 1255 **A. Overview**

The University [Governing Regulations](#) describe the policies and procedures governing establishment, review and abolition of college centers. College of Engineering Centers and Institutes (hereinafter “college centers”) will be established and reviewed consistent with these regulations. College centers facilitate impactful, high-quality multidisciplinary research and education by aggregating faculty, students and staff across multiple departments.

### 1260 **B. College Center Definition**

A college center is a unit within the college engaged in research, instruction, and/or outreach and engagement. A center is generally defined as an organized group of faculty and research staff that has come together to address an interdisciplinary research and educational mission. A college center will typically have a substantial research/scholarship component to its mission, and this research should be interdisciplinary in nature, involving faculty members and graduate students from two or more academic units within the college. College centers will not home for-credit courses or degree programs.

1270 Each center will have a director who reports to the dean. The dean may appoint one or more associate deans to manage the formation, review, and oversight of the center.

1275 The college will use the word ‘Center’ for multidisciplinary college centers (those that involve faculty and students from different departments primarily within the College of Engineering). The college prefers that university-level centers (those that involve faculty and students from departments in different colleges and with significant activities across colleges) be termed ‘Institutes.’ Guidelines for establishment and review of college and university centers are found in the University [Governing Regulations](#).

### 1280 **C. Procedure for Establishment of a College Center**

Prospective centers wishing to formally establish in the College of Engineering should consult with the Associate Dean for Research for guidance on center establishment. The establishment of the center is formally initiated by submission of a proposal package, prepared by the proposed director and proposed oversight committee, that includes:

- 1290 (a) Cover letter, describing the goals of the center, outlining its mission and scope, providing a high-level overview of the research plan and business plan, and recommending an initial director and initial faculty advisory committee. The cover letter should state whether the proposed center is a college-level or university-level center.
- (b) Draft Operating Rules (OR) including details about the goals, mission, scope, history, research plan, affiliated faculty, governance, and organizational structure, staff, 5-year budget and financial projections, need and availability of space and facilities (including



- 1295 major equipment), and, performance metrics.  
(c) Proposed budget and financial projections.  
(d) Supporting documents providing detail to back up the OR, including CV's of center leadership and affiliated faculty; budget; evaluation criteria; and any history of collaboration.

1300 The research plan should describe the goals for conducting impactful, high-quality research and how those research objectives will be achieved. The budget discussion and financial plan should include all expected sources and uses of both internal and external funds for a period of at least the first three years of operation and should justify the likelihood for success.

1305 The proposal package should be submitted to the Associate Dean for Research and Graduate Studies (ADGRS). The ADGRS will, in consultation with the dean and the college research committee, recommend whether the center will be a college center. The center will be designated a college center following the completion of and favorable review by the ADGRS or  
1310 a committee designated by the ADGRS. Once approved, the center will be assigned an organization number within the college that will be used to include the center in the college's budget process. The ADGRS will notify the Office of the Vice President for Research of any approved college center.

1315 **D. Procedure for Establishment of a University Center or Institute**

If the center wishes to be designated as a University Center or Institute, a proposal to establish an academic center or institute must be submitted to the Office of the Vice President for Research (VPR). The ADGRS should be consulted early in the process to ensure time for appropriate evaluation and endorsement by the college. [Administrative Regulation 1:3](#) details  
1320 the process for preparing a university-level center establishment proposal. The completed proposal, including endorsement letters from relevant department chairs and school directors, should be submitted to the ADGRS. The ADGRS will evaluate the proposal in consultation with the dean and the college research committee as needed. Upon favorable review, the dean will provide a letter of support to be included in the proposal package that is submitted to the VPR.

1325 **E. Appointment of College Center Directors**

The Center Director shall be the administrative head of the college center and represents the members of the center to the dean or others in the university administration. The director is responsible for leading the center in developing and maintaining a robust, high-quality  
1330 program. The director will have general administrative responsibility for the center, subject to the approval of the dean. The director is appointed by the dean, and appointments are generally for a period of four years. A director shall be eligible for reappointment. The center director reports to the dean, or an associate dean if so directed by the dean.

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#### **F. Reporting and Review of College Centers**

1340 Each college center shall prepare and submit an annual report on the center's activities during the previous year, following the annual report template provided by the ADRGS. The report should describe the major activities of the center during the previous year, and shall include a financial analysis and budget for the coming year. The report shall also provide an analysis of the center's activities with respect to its performance review criteria.

1345 Each college center will undergo a formal review four years after initial establishment and at four-year intervals thereafter. The review of centers will be conducted by the college research committee; if the center offers courses or degree programs, it will be reviewed by a committee formed from members of both the college research committee and the undergraduate and/or graduate education committee as appropriate. The evaluating committee may, at its discretion, appoint ad hoc committees (including faculty with expertise in the relevant subject area, and  
1350 usually also including administrators) to supervise the review process outlined below.

The center will prepare a self-study document that contains the following:

- a summary statement describing the purpose of the center and its scope of activities, and
- 1355 • a comprehensive self-study that provides information regarding its mission, faculty, administrative structure, budget, and evaluative criteria and benchmarks.

Upon receipt of the self-study, the evaluating committee will discuss and assess the self-study with a focus on:

- 1360 • relevance of the mission with respect to the college's strategic priorities,
- effectiveness of the center's administration and leadership,
- performance of the center relative to the center's stated evaluation criteria,
- appropriateness of the budget and the continued financial viability, and
- effectiveness of its use of space and facilities.

1365 The committee will meet with the director, oversight committee, and administrative staff as appropriate to discuss the self-study. The committee may also consult with stakeholders or external center advisory committee members, as appropriate.

1370 Based on the review, the evaluating committee will provide a report to the ADRGS. The report should evaluate the center's performance with respect to the focus points above, and make recommendations about the center's mission, operation, financing, and facilities. The report should also make an overall recommendation to either (a) renew the center, (b) conditionally renew the center with a follow-up review in 2 years, or (c) dissolve the center.

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#### **G. Change of Status of College Centers**

Any change of a college center's status will be reported to the VPR by the ADRGS.

## Appendix IV. Policy on Modification of Duties

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The College of Engineering is committed to providing a work environment that is healthy, supportive and considerate of employee work and personal life obligations. The Policy on Modification of Duties is intended to assist faculty integrate their professional and personal lives to help faculty feel more productive, engaged, and satisfied in their work environment.

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The university provides specific leave benefits under the Temporary Disability Leave (TDL) [HR Policy and Procedure 82.0](#) in conjunction with the Family and Medical Leave (FML) [HR Policy and Procedure 88.0](#) for a serious health condition of the employee that prevents the employee from performing his or her job, birth, adoption, or fostering of a child, or care for an immediate family member who has a serious health condition, or a qualifying exigency arising out of the fact that the employee's immediate family member is on covered active duty in the Armed Services or call to covered active duty status.

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The College of Engineering Policy on Modification of Duties provides further assistance to faculty to manage their workload and is not subject to the 12-month minimum employment period indicated in [HR Policy and Procedure 88.0](#):

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Faculty members who experience a qualifying event will receive modified duties for the semester nearest to the event, to be used in conjunction with university family or medical leave policies.

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The modified duties would release the faculty member from 50 percent of their course teaching assignments for the academic year. Should 50 percent of the course teaching lead to a non-integer number (such as 1.5), and the faculty member is released from an integer number of courses (such as 2) then the fractional portion may be banked by the releasing unit and taught by the released faculty member in a future year. Alternatively, an arrangement can be made to co-teach a course if such an arrangement is reasonable given the unit's teaching needs. The faculty member would be expected to focus his or her "on-duty" time on advising students, conducting research, and completing service during the modified-duties semester.

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If the event occurs within a dual career household within the College of Engineering, each partner would be eligible for modified duties that could be taken concurrently or consecutively.

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The college will provide funding to the unit with the event to cover 50% of the cost of reassignment of teaching responsibilities, but only if those costs are explicitly incurred to pay for additional casual teaching capacity. Overload appointments that reallocate teaching responsibilities to other faculty members will not be eligible for college funding.

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The faculty member is responsible for completing a modified-duties memorandum of understanding (MOU) prior to the event, using a template provided by the college. The MOU will be reviewed and approved by the chair/director and the dean. The MOU shall be approved in accordance with the unit and the faculty member's needs.

The modified duties shall be noted in the annual review letter for that year, or the next year in which a review is conducted.

Exceptions will be considered on a case-by-case basis by the chair/director and dean.

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## **APPENDIX V. Criteria and Procedures for Selection of Titled Chairs, Professorships and Faculty Fellowships**

### 1430 **A. Criteria**

Designated college chairs and professorships may be awarded to tenured professors or tenured associate professors in the College of Engineering. Designated college faculty fellowships may be awarded to tenure-track assistant professors in the College of Engineering. Existing faculty as well as faculty being recruited for vacant faculty positions may be considered. The criteria for such appointments are stated in [Administrative Regulation 2:1-1, III.C.3](#). The title shall reflect the academic rank.

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No present holder of a "University Alumni" or any other professorship at the university shall be considered for a college titled professorship.

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Recipients will be selected on the basis of a distinguished and sustained record in the areas of teaching, research and service to their department, college, university and profession. Emphasis will be placed on substantial and continued contributions. The specific emphases among teaching, research and/or service will depend upon, to a large extent, the wishes of the individual or corporate benefactor funding the professorship, chair or faculty fellowship.

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No person who is a candidate for a College of Engineering titled chair, professorship or faculty fellowship may participate in any part of the selection process, and any candidate holding administrative appointments, whose office is a designated part of the selection process, will pass their duties on to the next higher administrator in rank.

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### **B. Procedures**

The selection process will be initiated when there are sufficient endowment funds to supply adequate financing for a position. If the chair, professorship or faculty fellowship is designated for a particular department, the dean will notify the department chair that the selection process can be initiated. If the chair, professorship or faculty fellowship is undesignated, the dean will initiate the selection process.

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For a department-designated position, the department chair, in consultation with the dean, will appoint the selection committee. No one who is a candidate may serve on the committee. The selection committee will consist of up to five members as follows:

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1. a faculty member from the department in which the appointment is to be made,
2. a UK engineering faculty member from another department,
- 1465 3. a faculty member from another college,
4. no more than two additional members may be appointed by the dean, and
5. the committee chair will be elected by the members.

1470 A separate selection committee is not needed if the college, or one of its departments, recruits from outside using a search committee to fill an endowed position.

1475 For an undesignated chair, professorship or faculty fellowship, the membership of the selection committee, as appointed by the dean, will be identical to that for a department-designated position except that the college representation will consist of two faculty members from different departments in the college.

1480 The department chair or the dean will make available to the chair of the selection committee any specific requirements or criteria that are to be considered in the selection process, including any requirements set forth by the benefactor of the chair, professorship or faculty fellowship.

1485 The department chair or the dean, as appropriate, will act as the liaison and will assist the selection committee in advertising and recruiting for the position and in obtaining relevant information. In the event that the department chair is a candidate, the liaison will be appointed by the dean.

The selection committee normally will not interview candidates but may interview or obtain additional information from:

- 1490
1. faculty in the department or in related disciplines,
  2. the department chairs,
  3. the dean and other administrators within the college,
  4. the Dean of the Graduate School, Vice President for Research, and/or deans of other colleges,
- 1495
5. undergraduate and/or graduate students in the college,
  6. industry personnel, research laboratory directors or other sources such as professional societies, and
  7. faculty members and administrators at other institutions.

1500 The selection committee will forward its recommendations to the dean through the committee chair. If the dean concurs with the recommendations, including any recommendations provided by the department chair, he or she will forward them to the provost. If the provost concurs with the recommendations, he or she will be asked to submit them through the President to the Board of Trustees. If vetoed at any level, the committee will be asked to

1505 submit new recommendations. If vetoed a second time, the committee must be reconstituted and the procedure restarted.

In the event that the selection committee decides that the standards required have not been met by any of the eligible candidates, the selection committee should transmit this decision to

1510 the dean through the department chair, for a department-designated position, or the committee chair, for an undesignated position.

1515 Appointment to a titled professorship or titled chair shall be for a period of no more than five years. Appointment to a titled faculty fellowship shall be for a period of no more than three years. The faculty member may be reappointed subject to the original competitive review process.

1520 The holder of a titled chair or professorship must relinquish such position in the event he or she no longer remains a tenured member of the college faculty, except that, upon bona fide retirement, the holder shall retain the title (but not the salary) with the term "emeritus" added. The holder of a titled faculty fellowship must relinquish such position in the event he or she no longer remains a tenure-track member of the college faculty, except that, upon receiving tenure, the holder shall retain the title and salary through the fellowship appointment end date but would not be eligible for reappointment to the fellowship since they would no longer meet the rank criteria of assistant professor.

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## **APPENDIX VI. Constitution of the University of Kentucky Engineering Hall of Distinction**

### 1530 **A. Preamble**

In order to recognize individuals and emphasize the significance of their professional contributions and dedicated service to the engineering profession, the College of Engineering at the University of Kentucky has established the University of Kentucky Engineering Hall of Distinction. It is the objective of the Hall to provide recognition for its alumni whose distinguished careers have contributed to, or reflect credit on, the various academic programs in the college and the university.

### **B. Eligibility**

1540 To become eligible for election to the Engineering Hall of Distinction, the individual must be an engineering or computer science alumnus or alumna, and must satisfy all the following criteria:

1. have established an outstanding professional record,
2. have demonstrated distinguished service to his or her profession,
- 1545 3. have established a personal reputation at either the local, state, national, or international level for outstanding character and community service for a period of time sufficient in length to reflect without reservation great credit and honor upon the university, and
4. be able to provide an outstanding role model for the current College of Engineering students.

1550 No university employee, while in active service, may be eligible for the award.

### **C. Selection Board**

The Selection Board shall be constituted as follows:

- 1555 1. Dean of the College of Engineering,
2. President or a Board Member appointed by the President of the UK Engineering Alumni Association,
3. two members of the faculty of the college not currently chairpersons, and
- 1560 4. the department chairpersons of the college.

The two faculty members shall be appointed by the dean to serve for four-year periods. The initial appointees shall serve for a period of two or four years, respectively.

The dean shall chair the selection board.

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### **D. Nominations**

Nominations for the Engineering Hall of Distinction may be presented in writing to the selection board by an interested person at any time. The department shall be responsible for the



1570 preparation of a selection dossier that includes a resumé and other appropriate documentation that presents the best case for selection.

1575 The chairperson of the department from which the alumnus or alumna received his or her first engineering degree shall document the qualifications of each nominee by obtaining such information as the selection board may require to ensure that the qualifications and criteria for the award are met.

Deceased persons may be nominated for the award.

### **E. Selection**

1580 The selection board will review all nominations prior to the annual meeting for the purpose of eliminating those nominees not meeting the standards. At the annual meeting, the selection board shall then select recipients from nominations that have lain on the table for three months or more. The appropriate department chairpersons will place the name of their candidates before the Selection Board during the annual meeting with a brief oral presentation.

1585 The annual meetings shall be closed because of the confidentiality of matters that may be discussed.

1590 The number of recipients shall be limited to a maximum of six annually.

Nominees who are not selected at the annual meeting at which they are first eligible will automatically be carried forward for consideration for the next two annual meetings unless dropped from the list of nominees by a motion of the Board. If not selected in this period, they may be renominated at a later date.

1595 The selection board may, on its own motion, make a nomination for consideration by the board. These nominees will be subject to all criteria established by the constitution.

1600 A quorum of the board shall consist of nine or more members. To be selected to the Engineering Hall of Distinction, a nominee shall receive a favorable vote from not fewer than 80 percent of the members present at the annual meeting.

### **F. Awards**

1605 Those selected to the Engineering Hall of Distinction shall be presented with an appropriate award. Suggestions as to the type of award shall be prepared by the dean and presented to the selection board for approval.

1610 An appropriate public display commemorating the achievements of the recipients shall be prepared by the dean and located at a site approved by the Board.

**G. General Rules**

The award shall be made at an appropriate time to be designated by the dean.

1615 The College of Engineering shall defray expenses related to providing appropriate awards and to arranging for the public display commemorating the achievements of the recipients.

1620 The recipient, if living, must attend the awards ceremony and interact in a variety of ways with appropriate faculty and students while on campus to receive the award. The department that prepared and presented the nomination shall be responsible for developing an appropriate schedule for the awardee.

**H. Amendments**

1625 This Constitution can be amended only by the selection board at an annual meeting, the proposed changes having been introduced at a preceding meeting. Constitutional amendments require a favorable vote from not fewer than two-thirds of a quorum of the members.