

Last amended on April 22, 2025

# Rules of Procedure

## Department of Mathematics

Approved by the Faculty September 5, 2000

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Current University of Kentucky Regulations, Senate Rules, College of Arts and Sciences Rules, State and Federal law take precedence over the Rules of Procedure set forth in this document.

#### A) Faculty

1. Faculty with a Distribution of Effort (DOE) greater than 20% assigned to the Department of Mathematics comprise the *Voting Faculty* of the Department.
2. The tenured and tenure-eligible faculty (henceforth referred to as the *tenure-stream faculty*) of the Department of Mathematics established by majority vote that the maximum number of Lecturer Series faculty that may be employed by the Department shall be sixteen (16). The number shall only be changed by majority vote of the tenure-stream faculty of the Department. (See AR 2:9)

#### B) Meetings

1. Faculty meetings shall be scheduled once per month during Fall and Spring semesters, and the Chair shall schedule the timing of these regular meetings. Additional meetings of the faculty are called at the discretion of the Chair.

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However, the Chair must, within a reasonable time, honor any request for a meeting which is submitted in writing and signed by at least one member of the voting faculty. Meetings of the voting faculty are normally chaired by the Chair, but the Chair may delegate this responsibility. Minutes of meetings shall be kept in a permanent file in the Department Office, and copies shall be distributed to the faculty not later than two weeks after the conclusion of a meeting.

2. A representative of the Graduate Student Council shall be invited to all faculty meetings.
3. All meetings are *open* as defined by the Kentucky Open Meeting Act, but the faculty may vote to go into executive session under rules consistent with State law. Meetings shall be conducted using *Robert's Rules of Order* unless otherwise amended in this document. All motions, recommendations, and proposals shall pass on a majority vote unless otherwise stated in this document.
4. A quorum is defined to be the greatest integer less than or equal to one-third (1/3) of the voting faculty of the Department of Mathematics.

#### C) Academic Policy

1. All matters relating to courses, programs of study, degree requirements and academic policy are decided by the voting faculty in accordance with the following procedures except in circumstances specified in this document.
2. Recommendations concerning academic policy may be initiated by any member or group of members of the voting faculty. Recommendations shall be supported by detailed written proposals and a request to place the proposal on the agenda of a faculty meeting. All supporting material must be available to the Chair for circulation to the faculty at least one week prior to the meeting at which the proposal is to be considered. The Chair shall circulate the proposal and place it on the agenda of a regularly scheduled faculty meeting as requested.
3. Matters regarding the graduate program such as courses, degree requirements and policy are decided by the tenure-stream faculty of the Department of Mathematics.
4. The Department recognizes student rights to representation on matters of academic policy, and student input shall be solicited through the Director of Undergraduate Studies, the Director of Graduate Studies, and the Graduate Student Council.

#### D) Elected Committees

Written ballots shall be conducted for the purpose of nomination and election of the Executive Committee, the Promotion and Tenure Committee, and the Salary Committee. Complete results of all elections shall be reported to the faculty within two days of completion of the election.

1. Executive Committee. The Executive Committee shall consist of four elected members, the Director of Undergraduate Studies, the Director of Service Courses, and the Director of Graduate Studies. One additional member may be appointed at the discretion of the Chair. The elected members will include one Lecturer, one

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Assistant Professor, one tenured Associate Professor, and one tenured Full Professor. The Chair is an *ex officio* member of the Committee. Election of the Committee is held each September, and no elected members shall serve more than two one-year terms consecutively.

The primary function of the Executive Committee is to make recommendations to the Chair and the faculty on department policy and to foster communication within the department. In conjunction with the Chair, the committee shall seek to promote the department and its members, both within and outside the University. The Committee makes recommendations on the budget, faculty appointments, recruiting and hiring, special assignments, visitors, and other issues that impact the department.

The Executive Committee shall assist the Chair in preparing a report to the department faculty at the beginning of each academic year on the state of the department's affairs, the financial situation, and a budget for the coming year.

The Executive Committee shall hold regular meetings on at least a monthly basis. Meetings will be announced in advance to the faculty and conducted in accordance with the Kentucky Open Meetings Laws.

2. Promotion and Tenure Committee. The members of the Executive Committee serve as the members of the Promotion and Tenure Committee with the membership modified as indicated below.
  - a) Review and promotion of Lecturers: All members.
  - b) Review and promotion of Assistant Professors: All tenure stream members.
  - c) Review and Promotion of Associate Professors: All tenured Associate and Full Professors. Additional Full Professors shall be elected so that at least half of those serving are elected and so that there are at least four (4) Full Professors on the Committee.
3. Salary Committee. The Committee shall consist of four elected members from the tenure-stream faculty and one elected Lecturer. The Chair serves on the Committee *ex officio*. A normal term for a member is two years. If a member cannot complete a two-year term, a special election shall be held to fill the remaining time in the term. After serving a two year term, a member shall not serve as an elected member during the following four years. After serving a one year term, a member shall not serve as an elected member during the following two years. The election of committee members and the responsibilities are described in Subsections (a) and (b) below.
  - i. Election of the Committee. The existing Committee shall conduct an election for new members each September. All voting faculty with principal appointments in Mathematics are eligible to vote and serve on the Committee. The election of the tenure stream faculty shall be conducted in two phases.

1. Tenure-Stream Ballot

- a. Nomination. The Committee shall solicit nominations from the voting faculty and place the names of the six nominees who receive the greatest number of nominating votes on the final ballot.
- b. Final Ballot. Voting faculty may vote for up to two of the six nominees. The two nominees who receive the greatest number of votes shall be elected to the Committee and the nominee receiving the greatest number of votes shall serve as chair of the committee in the year following the election.

2. Lecturer Ballot. Only Lecturers shall vote for the Lecturer position. The election of the Lecturer shall be conducted on a single ballot containing the names of all Lecturers willing to serve. The Lecturer receiving the highest number of votes will be the new Lecturer member of the Committee.

All ties shall be broken by the flip of a fair coin.

- ii. Responsibilities. The primary responsibility of the Salary Committee is to make recommendations on *Merit Evaluations* of the faculty. The Committee also makes recommendations on salary adjustments for faculty. Members of the Committee shall not participate in deliberations on their own evaluations, and the Lecturer shall not participate in deliberations on evaluation of the tenure stream faculty.

It is the responsibility of individual faculty to prepare a Merit Evaluation Form in sufficient detail so that the Committee can make a fair evaluation. Individual faculty members are also responsible for maintaining an up-to-date vita to assist the Committee in making recommendations on salary adjustments.

- iii. Merit Evaluation Criteria. Evaluations shall be assigned to teaching, research, service, and administration (when appropriate) and weighted according to the Distribution of Effort of a faculty member. Guidelines for assignment of evaluations in each of the three categories are given below.
  1. Teaching. All aspects of teaching shall be considered including classroom teaching, course development, dissertation supervision, advising, and other activity that contributes to education.
  2. Research. The evaluation of research shall be based primarily on the quality and quantity of work published during the review period. The evaluation shall also consider other activities such as presentation of research to the general academic community, external funding, and grant writing. All other activities that contribute to the overall research environment may be considered as appropriate.

3. Service. The evaluation of service shall be based on contributions at the department, university, state, national, and international levels. Service activities include membership on committees, editorship of journals, course coordination, and other special assignments.
  4. Administration. The evaluation of administration shall be based primarily on information provided in the Merit Evaluation Form. Faculty with administrative duties shall provide detail on administrative goals and progress made toward those goals during the review period. The Committee may also consider evidence external to the Merit Evaluation Form that is indicative of successful administrative performance in its review.
  - iv. Salary Adjustment. The Committee may make recommendations to the Chair for adjustments to individual salaries. Recommendations for adjustments shall be based on a faculty member's current salary relative to the salaries of the faculty member's peer group. The Committee may also make recommendations on distribution of salary pools for adjustments.
  - v. It is the Chair's responsibility to make final recommendations to the College administration and inform individual faculty of the results of the evaluation.
4. Academic Appointments
- a. Recruiting priorities shall be established on a regular basis by a vote of the tenure-stream faculty.
  - b. Recommendations to the Dean of the College on appointments to regular faculty positions are made by the Chair in accordance with the Governing Regulations. In all cases written judgment must be obtained from the tenured faculty.
    - i. In the case of an appointment at the level of Lecturer, the consent of the voting faculty must be sought and may be obtained by the Chair on the basis of a written or e-mail ballot.
    - ii. In the case of an appointment at the level of Assistant Professor, the consent of the voting tenure-stream faculty must be sought, and may be obtained by the Chair on the basis of a written or e-mail ballot.
    - iii. Appointments at the level of Associate Professor or higher must be discussed at a meeting of the voting tenure-stream faculty. The consent of the voting tenure-stream faculty must be sought, and may be obtained by the Chair on the basis of a written or e-mail ballot.
  - c. The Chair solicits nominations for visiting appointments from the faculty, and the Executive Committee maintains a ranked list of candidates. A list of candidates will be circulated to the faculty for comment prior to the ranking of these candidates by the Executive Committee.
  - d. Graduate teaching assistants are appointed by the Chair. The Chair shall seek the advice of the Director of Graduate Studies and the Director of Undergraduate Studies on these appointments.

5. Reappointments, Promotion, and Tenure

- a. General Procedures for Reviews. It is a responsibility of the Promotion and Tenure Committee to review the progress of each faculty member toward retention and promotion. Composition of the Committee for reviews of faculty at each rank is described in Section D2, Promotion and Tenure Committee. Reviews shall occur on a timetable specific to the rank and seniority of the faculty member. After a review is completed by the Promotion and Tenure Committee, the Chair shall present the review to the faculty for discussion at a faculty meeting. If the faculty accepts the recommendation, the Chair shall prepare any required dossier and material to be forwarded to the College and University administration in support of the recommendation. The dossier must include written judgment of the faculty as required by the *Matrix of Minimum Consultation and Written Judgment*. If the faculty rejects the recommendation, the case may be returned to the Promotion and Tenure Committee for further deliberation or the faculty may make an alternative recommendation. In all cases the results of reviews shall be communicated to the faculty member in writing and a record maintained in the faculty member's file.

In all cases where promotion and/or tenure are being considered, the Chairperson shall solicit a statement of views from the Graduate Student Council. This statement shall be available to the tenured faculty during their deliberations and shall be included in the dossier forwarded to the administration in cases where promotion and/or tenure are proposed.

- b. Lecturers.

- i. Promotion to Two-Year Rolling Contract. A Lecturer who has not previously been granted a two-year rolling contract shall be reviewed for promotion to a two-year rolling contract no later than the beginning of the Lecturer's fourth year. On the completion of its review, the Committee shall recommend that the individual either:
  1. be placed on terminal reappointment for a fifth and final year; or
  2. be recommended to the administration for a two-year rolling contract.
- ii. Promotion to Senior Lecturer. The Committee may review a Lecturer for promotion to Senior Lecturer at any time after five years of continuous service (See AR 2:9 IV.C). Upon completion of its review, the Committee may recommend that the Lecturer be promoted to Senior Lecturer.

- c. Assistant Professors.

- i. Progress toward Tenure. Reviews shall occur at the end of the faculty member's second, third, and fourth years, but may occur more frequently at the Chair's discretion.
- ii. Promotion and Tenure. A non-tenured Assistant Professor shall be reviewed for promotion and tenure by the Committee no later than the beginning of the faculty member's sixth year, unless an extension has been granted by the

College. On the completion of its review, the Committee shall recommend to the voting tenured faculty that the individual either:

1. be placed on terminal contract for the coming academic year; or
  2. be recommended to the administration for promotion and tenure.
- d. **Associate Professors.** Associate Professors may be considered for promotion at any time consistent with the Governing Regulations. An Associate Professor may request a review for promotion to Full Professor after six years have elapsed since promotion to Associate Professor or after six years have elapsed after an unsuccessful review for promotion to Full Professor.
6. **Budget.** The Chair shall submit budget requests for the Department and administers the budget after its approval. The Chair recommends salaries for new appointees, recommends stipends for teaching assistants, allocates travel funds, and authorizes the use of funds for such items as telephone charges, printing, copying, *etc.* Recommendations for budget changes must be made to the Chair.
7. **Department Officers**
- a. **Chair.** Duties and responsibilities of the Chair are defined by the Governing Regulations. The Chair serves *ex officio* on all department committees, organizes membership of the Executive Committee and Promotion and Tenure Committee, appoints the Summer Chair, the Director of Undergraduate Studies, the Director of Graduate Studies, the Director of Service Courses and appoints department members to all other committees and roles that must be filled each year. The Chair will appoint all Course Coordinators in consultation with the Director of Service Courses and the Director of Undergraduate Studies.
  - b. **Summer Chair.** The Summer Chair is appointed at the discretion of the Chair and serves as Chair during the period May 16-August 15.
  - c. **Director of Graduate Studies.** The Director of Graduate Studies (DGS) is appointed consistent with College rules and is responsible for administration of the graduate program of the Department. The DGS directs recruitment, advising, and evaluation of graduate students, and schedules graduate examinations and dissertation defenses. The DGS recommends to the Chair the graduate course teaching assignments and membership on the graduate program committees.
  - d. **Director of Undergraduate Studies.** The Director of Undergraduate Studies (DUS) is appointed consistent with College rules and is responsible for development and administration of the undergraduate program of the Department. The DUS recommends to the Chair the undergraduate teaching assignments, membership on the Undergraduate Program Committee, and Course Coordinators.
  - e. **Director of Service Courses.** The Director of Service Courses shall have an academic appointment (Lecturer, Regular or Special Title) in the Department of Mathematics. The DSC is responsible for administration and oversight of the service course load of the Department. Courses that comprise the *Service Courses*

shall be so designated by the faculty on a periodic basis as required. The DSC recommends to the Chair the teaching assignment for service courses, membership on the Service Course Committee, and Course Coordinators for the service courses.

- f. **Ombudsman.** The Ombudsman is appointed by the Chair and helps resolve conflicts between students and instructors.
- g. **Administrative Officer.** The Administrative Officer assists with budget administration, prepares class schedules, supervises registration and drop-add, maintains enrollment, and hires part-time instructors and graders.

8. Appointed Committees and Course Coordinators

- a. **Course Coordinators.** Course coordinators are appointed by the Chair upon recommendations of the DUS and DSC. They are responsible for organization and administration of multi-section courses, and they work with the Undergraduate Program and Service Course Committees on text selection.
- b. **Graduate Program Committee.** Members of the Committee are appointed by the Chair upon recommendation of the DGS. The Committee is responsible for providing advice to the faculty and the Director of Graduate Studies on matters that impact the Graduate Program.
- c. **Graduate Recruiting Committee.** Members of the Committee are appointed by the Chair upon recommendation of the DGS. This Committee is responsible for providing advice and support to the Director of Graduate Studies on all matters regarding the recruiting and admission of graduate students..
- d. **Undergraduate Program Committee.** Members of the Committee are appointed by the Chair upon recommendation of the DUS. The Committee offers advice to the faculty and the DUS on matters affecting the undergraduate program. The Committee reviews textbook adoptions for all multi-section undergraduate courses other than courses designated as *Service Courses*.
- e. **Service Course Committee.** The Service Course Committee is appointed by the Chair upon recommendation of the Director for Service Courses. This committee offers advice to the Director of Service Courses on matters affecting the instruction and running of service courses offered by the Department and makes final decisions on textbook adoptions for these courses.
- f. **Recruiting Committee.** The Recruiting Committee is appointed by the Chair based on recruiting priorities and consultation with faculty. The Chair shall choose the Chair of this committee.

9. **Amendments.** Any voting faculty member or group of voting faculty members of the Department may propose amendment of these Rules of Procedure at any time. Proposed Amendments must be presented in writing and circulated to all voting faculty at least two weeks prior to a meeting in which a vote is taken to adopt the amendment. A two-thirds affirmative vote of the faculty present and voting is necessary for the adoption of an amendment.

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**Revision history.**

Amended on May 1, 2007, April 25, 2011, April 23, 2013.

December 2, 2014: Lecturer cap increased to 8.

January 17, 2018: Lecturer cap increased to 9.

October 16, 2018: Lecturer cap increased to 11.

October 8, 2019: Lecturer cap increased to 16.

November 9, 2021: Director of Service Courses included among the members of the Executive Committee.

## Matrix of Minimum<sup>1</sup> Consultation and Written Judgments Evaluation Activity

Category of Tenure-eligible Faculty <sup>2</sup>	New Temp. Faculty Appt; Post-retirement appt.	New Appt. of Lecturer or Senior Lecturer	New Appt. Tenure-track Asst. Prof.	New Appt. Tenure-track Assoc and Full Prof.	Re-appoint	Decision <i>Not</i> to Reappoint	Terminal Appointment	Promotion to Assistant Prof.	Promotion to Associate Prof.	Promotion to Senior Lecturer	Promotion to Prof.	Tenure
Each Tenured Professor	<b>C</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>C</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>
Each Tenured Associate Professor	<b>C</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>C</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>		<b>R</b>
Each Untenured Professor	<b>C</b>		<b>R</b>	<b>R<sup>3</sup></b>				<b>R</b>	<b>R</b>		<b>R</b>	
Each untenured Associate Professor	<b>C</b>		<b>R</b>					<b>R</b>				
Each Assistant Professor								<b>R</b>				
Directors of GC/MDC <sup>4</sup>	<b>C</b>		<b>R</b>	<b>R</b>	<b>C</b>	<b>R</b>	<b>R</b>		<b>R</b>		<b>R</b>	<b>R</b>

**C** = The educational unit administrator must consult with the educational unit faculty in this category, but written judgments from those faculty are not required.

<sup>1</sup> A department faculty may establish policies that extend the above minimum consultation requirements in faculty personnel matters to include the required or optional participation of other full-time faculty employees in any series in the department (see GR VII.B.5). Educational unit faculty on approved leaves and those with primary administrative, service or other assignments outside of the educational unit may elect to submit written judgments, but they are not required to do so.

<sup>2</sup> On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted (see GR VII.B.5).

<sup>3</sup> On matters involving the appointment of faculty employees at the rank of Associate Professor.

<sup>4</sup> Directors of Graduate Centers and Multidisciplinary Research Centers and Institutes in which the candidate under review has an assignment.

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**R** = The educational unit administrator is required to consult with the faculty in this category and obtain their written judgments.