

AS&E Rules and Regulations, PART A

The Faculty, the Council and the Committees

I. General Faculty Meetings

A. Time of General Faculty Meetings

1. There are three general faculty meetings annually, two of which are joint meetings with the Faculty Council held in September and February. The final general faculty meeting is scheduled for the Thursday preceding commencement. This meeting in May may be replaced with an on-line vote of degrees by faculty to be completed by 3:00 pm the Thursday before commencement.
2. If, in the judgment of the Dean of the Faculty and the Chair(s) of the Faculty Council of Arts, Sciences and Engineering (AS&E), it is desirable to postpone any general meeting of the faculty, that meeting may be postponed for a period not to exceed two weeks. The Dean shall give the faculty reasonable notice of such postponements.
3. Special faculty meetings may be called by the President or by the Dean of the Faculty. Special meetings may also be called upon petition to the President or to the Dean of the Faculty. Such petitions require the signatures of 10% of the faculty, and the consequent special meeting shall normally take place after three days' notice to the faculty.

B. Procedural Rules

1. Faculty Meetings shall be conducted in accordance with Robert's Rules of Order unless otherwise specified.
2. Quorum. A quorum for all meetings, scheduled or special, shall be the number of faculty who are present. However, unless 50% of the faculty is present, the authority of a faculty meeting is limited to discussion, debate, resolutions of sentiment, and the awarding of degrees to students. Given the presence of 50% of the faculty, the meeting, whether regularly scheduled or special, may act on any matter within the jurisdiction of the faculty, including the amendment or decision of any action of the AS&E Faculty Council.
3. Agenda. A statement of items of business to be presented at a faculty meeting in sufficient detail to be understood.
 - a. No item of new business may be presented for action at a faculty meeting without having been included in the notice as part of the agenda that is distributed to all faculty in advance of the meeting. Any faculty committee or individual with legislation to propose shall present an appropriate motion and other material to the Dean of the Faculty or Chair(s) of the AS&E Faculty Council, in writing, at least ten days prior to a scheduled meeting, or along with the petition by which a special meeting is called. This regulation shall be interpreted as not excluding presentation of urgent business which arises after the agenda has been prepared, and as not requiring the inclusion of matters, the publication of which in the agenda would be detrimental to the best interests of the University.
 - b. Every motion presented whose effect would be to change the regulations shall be submitted in writing and shall indicate the existing regulations that would be changed or repealed by the action proposed.
4. Tie Votes. In the instance of a tie vote the motion will fail.
5. Minutes. A statement of motions and actions accepted by the faculty and brief statements of informal reports with copies of formal reports attached thereto as appendices. The minutes of AS&E faculty meetings are uploaded to the AS&E Intranet and are accessible to all faculty.

6. With regard to the confidentiality of faculty meetings, a distinction must be made between the discussion and actions taken.
 - a. The business of AS&E faculty requires members to respect the confidentiality of the discussion.
 - b. Actions taken by AS&E faculty will normally be reported, where appropriate, by the presiding officer. Any action is to be treated as confidential only when the faculty has voted to keep it confidential, or when the presiding officer has ruled that it should be treated as confidential. Such rulings from the chair may be overridden by a simple majority of the faculty.

C. Officers in Charge of Faculty Meetings

1. The President (or Provost) of the University shall preside over all meetings of the faculty except that in his or her absence, the Dean of the Faculty or his/her delegate shall preside, and in the absence of these, the Chair(s) of the AS&E Faculty Council shall preside. In the absence of all of the above-named officers, the meeting may elect a presiding officer pro tempore.
2. The Dean of the Faculty, in consultation with the Chair(s) of the AS&E Faculty Council, shall:
 - a. Compile the agenda of the business to be considered in each scheduled faculty meeting and shall distribute copies of the agenda to the faculty by noon of the day preceding the meeting.
 - b. State in the notice of a special meeting the purpose for which the meeting is being called.
3. The Director of Faculty Affairs for AS&E or her/his delegate is responsible for summarizing the discussion and recording all business to be transacted in both regular and special faculty meetings, for distributing copies of the minutes of all faculty meetings to the faculty, and also shall have charge of the AS&E Rules & Regulations.

D. Attendance at Faculty Meetings

1. Those faculty members entitled to attend faculty meetings and to vote are the President of the University, the Deans, Associate, and Assistant Deans of the College, full-time Professors, Associate Professors, Assistant Professors, and Instructors in the departments of the College, and the Dean of Libraries.
2. The following shall be invited to faculty meetings without vote: the Provost, Associate Provosts, the Deans of the River Campus Schools, the Dean of Undergraduate Enrollment Policy and Management, the Dean of the School of Nursing, the Registrar, and the student members of standing AS&E faculty committees.
3. Other persons may, subject to review by the faculty, be invited by the Dean of the Faculty to specific meetings, but without vote.
4. Decisions in regard to attendance and voting privileges for any individual who does not hold the title of full-time Professor, Associate Professor, Assistant Professor, or Instructor shall be made by the Dean of the Faculty in consultation with the Council.

II. Responsibility of the Deans

- A. The Dean of the Faculty is appointed by the President and the Board of Trustees. It is the Dean's function to:
 1. Be the chief administrative officer of AS&E in matters of budget, new appointments, and faculty actions.
 2. Stimulate and encourage the faculty of AS&E to determine and fulfill its functions.

3. Act as the representative of the faculty in dealings with administrative officers of the University.
 4. Represent and interpret the policies of the President and the Board of Trustees to the faculty.
 5. Administer the graduate programs of AS&E.
 6. Serve as an ex officio member of the AS&E Faculty Council and its Steering Committee.
- B. The Dean of The College shall:
1. Have administrative responsibility for the academic advising and review of progress of undergraduate students.
 2. Interpret faculty rules regarding undergraduate academic programs within guidelines set by the Administrative Committee.
- C. The Dean of the Faculty may appoint, with the consent of the President and the Board of Trustees, Deans, Associate and/or Assistant Deans and may delegate to them such functions of the office as may be deemed appropriate.
- D. There shall be a Cabinet of Department Chairs that the Dean of the Faculty as ex officio chair shall convene monthly and at such other times as they shall think proper during the academic year. The Cabinet shall serve as one means for the Dean to communicate AS&E issues to the departments and as one channel for the Dean to hear discussions of AS&E issues.

III. The Council of Arts, Sciences and Engineering

- A. The Faculty Council of AS&E is an elected group empowered to act in the name of the faculty, on any matter in which the faculty has primary responsibility except in the award of degrees and distinctions. The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and the co-curricular aspects of student life. The responsibility for faculty status includes setting the standards for appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The Council also ensures that the faculty has a role in decision making outside of its immediate areas of primary responsibility, including long-term planning, budgeting, and the selection, evaluation and retention of administrators. The Council serves as a channel of communication between and among the various academic departments and programs: between AS&E faculty and Deans; and between the AS&E faculty and the President and the Provost of the University. In addition, the Council, through its Steering Committee, appoints all those standing committees of the faculty (see VI below) to which the faculty has delegated some part of its authority.
- B. Membership
1. The Council consists of one full-time faculty member from each academic department within Arts, Sciences & Engineering
 - a. Faculty must be of the rank of assistant professor (in at least the 4th year of appointment or hired with at least 3 years of previous service credit) or at the rank of associate or full professor,
 - b. Up to three at-large members (one in Engineering and two in Arts & Sciences) who are full-time faculty (to include lecturers and senior lecturers),
 - c. Two student members (one an undergraduate and the other a graduate student)
 - d. One non-voting member each from the NROTC, the Eastman School of Music and the Simon Business School,
 - e. As ex officio, the Dean of the Faculty for AS&E.
 2. Programs will be invited to send a representative to the Faculty Council when meeting the following conditions:
 - a. The program has an official listing as a center or program with the Arts, Sciences and Engineering Dean's Office.
 - b. The program has a primarily educational function, with formal and approved academic degree programs.

3. The program has at least two faculty with primary appointments in the tenure track or non-tenure instructional track within that program. Programs deemed newly eligible for the Faculty Council would be subject to the same policies and procedures as other member departments and programs within the Faculty Council.
 4. Faculty representatives of these programs would have the same rights and responsibilities as other departments and programs, which would also be determined based on their faculty status.
- C. Faculty members serve three-year terms, with right of re-election but no more than two consecutive terms, or no more than six consecutive years (including one-year terms). One-year of service is counted as a term, one semester is not counted as a term. Student members each serve a one-year term.
- D. Officers. The Chair(s) of the Steering Committee of the Council is/are the Chair(s) of Faculty Council
- E. Electorate. The departmental representatives will each be elected by vote of all full-time members of the department represented. The undergraduate student member of the Council shall be elected by the principal undergraduate student legislative assembly. The graduate student member shall be chosen by the Graduate Committee of the College.
- F. Electoral System.
1. During February - March each departmental representative whose term is expiring will have his/her successor chosen by secret ballot of all full-time faculty of his or her department, the election to be conducted by the department chair. There will be no nominating procedures; tenure-track and non-tenure instructional faculty who hold the rank of assistant professor or above (in his/her 4th year of appointment or beyond or hired with at least 3 years of service credit) who is not a holdover at-large member or ineligible due to previous service is considered a suitable candidate. A simple plurality will suffice to elect, with a run-off election immediately following the initial election in case of tied first-place voting.
 2. During February – March each year, one at large member will be chosen by secret ballot of full-time faculty in the respective school. Candidates will be either self-nominated or nominated by voting-eligible faculty in the same unit with the candidate's consent. An at-large member needs to receive the most votes of all candidates and more "Yes" than "No" votes to be elected. (Failure to vote will be registered as a vote of "Abstain"). Otherwise, the seat remains unfilled. One at large member will be elected on a rolling basis each year, beginning with Arts & Sciences, then Engineering and then Arts & Sciences, for no more than three at-large members.
 2. The term of a regularly elected member of the Council shall begin immediately after the adjournment of the last regular Council meeting of the academic year of his or her election, and end at the corresponding moment three years later.
 3. A vacancy which occurs among departmental representatives shall be filled by an immediate election within that department, for the unexpired portion of the term.
 4. Elections to the Council will be staggered; one-third of departments within each division will elect members each year.
- G. The Steering Committee of the Council
1. Preceding the April Faculty Council meeting, Faculty Council members (previous and newly elected) will receive a list (via email) of those eligible to serve a two-year term on the Steering Committee and the Steering Committee election process. This will be sent as part of the agenda/materials for the April meeting and will include a link to each eligible faculty member's department web page.

2. The April Faculty Council meeting will be attended by both the newly elected members of the Council as well as the current Council. Newly elected Council members will be introduced and those eligible to serve on steering committee identified. Newly elected members of Faculty Council will have no vote at this meeting. Following the April meeting an electronic poll will be generated to elect those who will serve as new Steering Committee Members.
3. The Steering Committee will consist of seven members of the Council. No more than two Steering Committee members may have a primary appointment in the same division (Humanities, Social Sciences, Natural Sciences and Engineering). The Committee members serve a two-year term; members may stand for re-election without limit. The Dean of the Faculty will be an ex officio member. Members will be elected on a rolling schedule. At all times, the majority of the Steering Committee must be tenured faculty; the remaining positions may be filled by any member of the Faculty Council.
4. Faculty Members in their first year of overall service on the Faculty Council are ineligible to serve on the Steering Committee; faculty members in the first year of a reappointment term are eligible for the Steering Committee. Faculty members unable to serve two years on the Steering Committee due to reasons such as academic leave or their term ending, and their replacements, are not eligible for election to the committee. They may continue to serve as Faculty Council members.
5. Following election of the Steering Committee, a meeting will be held before the end of the academic year for the new Steering Committee members; this meeting will be for the purpose of electing the Steering Committee Chair/Chair of the Council and to discuss any anticipated topics of discussion for the upcoming academic year. The term of regularly elected members of the Steering Committee, and of its Chair, shall begin immediately after the adjournment of the last Council meeting of the academic year.
6. The Chair will serve for one year and the position is renewable providing that the Steering Committee agrees for a renewal and the chair is still eligible to sit on Faculty Council and Steering Committee.
7. If a vacancy in the Steering Committee arises during the academic year, the position will be filled by the person from the same division whose position in the preferential balloting was just below that of those previously elected. If the position of Chair of the Steering Committee falls vacant, the remaining members shall choose a new Chair from among themselves before filling the vacant seat.
8. Tenured faculty on the Steering Committee who have served for at least one year will be eligible to serve as Chair. Junior Faculty are not eligible to serve as Chair.
9. The Steering Committee shall meet as often as its Chair decides. Meetings shall be closed except when the committee opts to invite guests.
10. The functions of the Steering Committee are to prepare an agenda for the meetings of the Council, to assist the Dean of the Faculty in preparing an agenda for the meetings of the faculty in accordance with (sec. 11 below), to appoint all those faculty committees to which the faculty has delegated part of its authority, such as the Administrative Committee, and to appoint and hear the reports of such other committees or study commissions as it, or the Council, or the faculty, or the Dean thinks appropriate. This authority in no way infringes on the right of the Dean of the Faculty to appoint other committees, standing or ad hoc, for the purpose of advice or assistance. However, faculty authority for action may be delegated only to those committees appointed by the Steering Committee for such purpose.
11. The agenda for the meetings of the Council shall reflect the priorities and concerns of AS&E faculty as established through the following mechanisms: a) The Steering Committee will issue a general call for agenda items at the beginning of each semester; b) Council members will regularly solicit agenda

items from their departments and programs; c) the Chair(s) of the Faculty Council will solicit new agenda items for the next meeting under New Business at every Faculty Council meeting and d) a submission form will be made available on the Council's website.

H. Meetings of the Council

1. The Council shall meet every fourth week, according to a schedule published by the Chair(s), except in those weeks when a scheduled general meeting of the faculty takes place.
2. Meetings may be canceled, or special meetings may be called, by concurrent resolution of the Chair(s), provided adequate notice is given.
3. The order of business for ordinary meetings shall be (a) Minutes of the preceding meeting, (b) Report of the Steering Committee, (c) Reports of other standing committees, (d) Old Business, including new motions presented by standing committees of AS&E and printed in the Agenda, (e) New Business, including all other motions and reports of other committees, as well as new agenda items, proposed by Council Members, to be discussed at the next meeting, (g) Good of the House, (h) Adjournment. Substantive motions presented under New Business are automatically tabled upon the end of debate for that meeting and may be taken from the table by a motion under Old Business at the following meeting. A fifty percent quorum is required for action. Otherwise, meetings are governed by Robert's Rules of Order.
4. Minutes of the meetings shall be recorded by the Director of Faculty Affairs or his/her delegate for Arts, Sciences and Engineering, and will be made available on the [AS&E Intranet](#) to the electorate and to responsible officers of student government and graduate student organizations if these groups exist. In addition, Council members shall provide regular reports on the meetings to their departments and programs.
5. Meetings of the Council are open to all full-time faculty members in AS&E, to the President, Provost, University Dean of Graduate Studies, Deans, Associate and Assistant Deans of AS&E, and invited guests, except when the Steering Committee determines that a closed session is necessary. An option to attend the meetings virtually will be made available to all faculty members. While all persons entitled to attend meetings may speak, only members of the Council may present motions and vote, the exception being the joint Faculty/Faculty Council meetings held in September and February. All full-time members of AS&E faculty in attendance at the September and February Faculty Council/all faculty meetings may vote on the award of degrees facilitated through an on-line vote. An on-line faculty vote of degree eligible candidates substitutes for the May meeting.
6. Actions of the Council shall be public information and reported publicly by the Chair. Detailed proceedings of the Council, and the minutes of the meetings, are confidential among those who receive them.
7. Tie Votes. In the instance of a tie vote the motion will fail.

I. Residual Authority of the Faculty

Notwithstanding the grant of authority by the faculty to its Council and the Committees thereof, AS&E faculty retain the right to abridge, modify, amend or reverse any action taken by these agencies, either in a regular or special meeting held in accordance with Section I above, or by referendum vote according to the following rules.

Any member of the faculty may initiate a motion by printing it completely on each page of a petition and securing thereon the signatures of 20% of the AS&E faculty electorate, each signature signifying the signer's desire to hold a referendum on the matter. The petition shall then be presented to the Chair of the Council in the company of the Dean of the Faculty, and shall conduct a referendum of the faculty

by mail ballot, stating the motion and asking for a vote of yes or no. If at least 50% of the faculty responds, a yes vote by simple majority of those voting will suffice to pass the motion.

Neither the Council nor any of its committees may then negate this faculty action during the academic year of the vote.

IV. Faculty Appointments, Promotions, Leaves, and Professional Services

The AS&E faculty follow the policies established by the University as described in the current Faculty Handbook. Guidelines used within Arts, Sciences and Engineering for the frequency and timing of faculty leaves are given in Appendix I. Appendix II describes titles and appointment criteria used within AS&E for non-tenure track faculty. Guidelines used within the College for promotion and tenure cases are attached as Appendix III.

V. Administration of Departments

- A. Each department of study functions as a committee responsible for its share of the curriculum. All business of the department within the limits set by AS&E policies, including the arrangement of courses, the adjustment of schedules, and the teaching and research policies of the department, should be carried on so far as possible by cooperation within the department and between departments.
- B. The administrative head of each department shall be a Chair. Following consultation with such members of the department as may be appropriate, as well as with the Dean of Faculty, the Dean of the Hajim School of Engineering and Applied Sciences or the Dean of the School of Arts & Sciences recommends the appointment of the Chair to the Provost, who in turn provides final confirmation to the faculty member serving in this capacity. The Chair shall be regarded as the administrator of the department during his or her term of office but need not be of full professorial rank. The chair shall be responsible to the Dean of the relevant school and to the Provost for the general administration of the department; for the preparation and presentation of the annual budget; for a careful scrutiny of the existing budget of the department, since he or she is primarily responsible that the department not exceed it; for the presentation of an annual report; and for the general supervision of the students and methods of instruction in the department. The Chair shall have the special responsibility of cooperating with the Provost and the Dean of the relevant school in selecting candidates for appointment to the department.

When advisable, the above duties may be divided among members of the department who are in any case responsible to the Chair for any departmental duties he or she may assign to them.

VI. Committees

- A. General Provisions
 1. Unless otherwise stated below, all committees are given the power to organize themselves.
 2. All AS&E committees are required to maintain minutes of each meeting. Files of minutes will be maintained by those designated by each committee.
 3. Normally no member of the faculty will hold office in more than one committee appointed by the Steering Committee of the Council.
 4. The terms of members of the AS&E committees are based on years, with a year meaning an academic year beginning on the first day of classes of the fall term.
 5. The Steering Committee of the Faculty Council has the right to create ad hoc committees to address specific matters as needed.
- B. Standing Committees reporting to Faculty Council
 1. Committee on Graduate Studies
 - a. Responsibilities:

1. To advise the Dean of the Faculty or the Dean's delegate on the general conduct and administration of graduate work in Arts, Sciences and Engineering.
 2. To submit to the Council for its approval proposals of new graduate degree programs.
 3. To make an annual report to the Council on matters which it is studying and on which it has taken action.
 - b. Composition: The Committee on Graduate Studies shall consist of each graduate program's Director of Graduate Studies (DGS) and the Dean of Graduate Studies.
2. Administrative Committee
 - a. Responsibilities:
 1. To establish administrative guidelines consonant with faculty regulations for periodic review of the academic records of undergraduates. This review will result in appropriate action (probation, or academic separation) when a student's record indicates he or she is not making satisfactory progress toward meeting degree requirements. This review, further, should be so designed as to include College Rules and Regulations in consultation with representatives from other River Campus Colleges and the School of Nursing in those cases involving students who have indicated their intention to complete degree requirements in those particular academic units.
 2. To act on all requests for exceptions (qualitative, quantitative, and substantive) to requirements for baccalaureates.
 3. To raise with the Council all questions of inequity or inconsistency in faculty policy which emerge from the consideration of individual problems. This includes, but is not limited to, resolution of Complaint/Comment/Praise forms submitted to the committee by students.
 - b. Composition: The Administrative Committee shall consist of seven faculty members of the College, at least one of whom shall be from the School of Engineering and Applied Sciences, appointed to three-year terms; three undergraduates. The Dean of AS&E or the Dean's representative shall be a non-voting member of the committee. New appointees are approved by the Steering Committee of the Faculty Council.
3. Curriculum Committee (CCC)
 - a. Responsibilities:
 1. The Committee will prepare a comprehensive set of foundation requirements as described in its charge (see Faculty Council minutes of March 19, 1982).
 2. The Committee will: elicit and review new courses; review all newly proposed programs, including interdepartmental and intercollege programs;
 3. Assess the needs of new or existing programs; and concern itself with general graduation requirements such as the primary writing requirement as well as those aspects of departmental and interdepartmental degree programs that affect other parts or College Rules and Regulations of programs of AS&E.
 4. The Committee will report to the Council semi-annually, and at appropriate times will bring to the Council Steering Committee for action any substantive issues involving AS&E requirements. The Committee may recommend to the Council at any time changes in other AS&E procedures, programs, requirements, and regulations which it believes will enhance undergraduate education at the University.
 5. The CCC will hear recommendations from Faculty Council on curricular matters if and when they arise.
 - b. Composition: The Committee will consist of nine faculty members, six from different departments in the School of Arts and Sciences, two from the Hajim School of Engineering and Applied Sciences, and one from the Simon School, appointed by the Dean of the College

in consultation with the Steering Committee. The CCC will also include the Dean of The College (or Associate Dean as the Dean's representative) as an ex-officio voting member and one member of the Faculty Council Steering Committee as an ex officio non-voting member. Faculty members shall be distributed as equitably as possible among all disciplines represented in the College and shall serve for three-year terms. There shall be one full-time undergraduate student member who shall have declared and been accepted into a major and who shall serve, without vote, for a one-year term. The chair shall be one of the nine faculty members, so designated by the Dean of the College in consultation with the Steering Committee.

4. Committee on Individual and Interdisciplinary Programs (CIIP)

a. Responsibilities:

1. To monitor and review formalized undergraduate individual major and minor proposals and programs at regular intervals;
2. To review new formalized interdisciplinary programs seeking concentration status when there is no departmental "home" and no department interested in creating an alternate route, and to make recommendations concerning these proposed programs to the governing body of the appropriate college(s)
3. To make general recommendations, as needed, to the Faculty Council concerning interdepartmental and individual programs of study.
4. To establish appropriate deadlines for Senior Scholar applications; to admit students to the Program; and to review the progress of each Senior Project late in the fall semester and, in the spring semester, determine whether or not the terms of each Project have been fulfilled.

- b. Composition: Selected faculty drawn primarily from the College but including faculty from other schools involved in the concentration programs reviewed by the Committee. Members are appointed by the Dean of AS&E and members from other schools by the Provost. Members will serve three-year terms. The Director of the Center for Interdisciplinary Studies, the Dean of AS&E or the Dean's designate, and a representative from the Dean's Office of any school with membership on the Committee will be ex-officio, non-voting members.

5. Committee on Assessment: Educational Effectiveness for Arts, Sciences and Engineering (EEASE)

a. Responsibilities:

1. To provide support for degree programs in establishing and evaluating Program Learning Outcomes on an annual basis, closing the loop between teaching, assessment and implementation of new strategies.
2. To prepare AS&E for any and all accreditation and re- accreditation reviews, such as the Middle States Commission on Higher Education (MSCHE).
3. To report to the Council annually on the assessment of the degree programs in AS&E.

- b. Composition: The committee will be comprised of the Director of Educational Effectiveness, the Associate Dean of the College, the Associate Dean of Education and New Initiatives (Engineering), and the Assistant Dean of Graduate Education. Members of the committee will flexibly work with AS&E department/program chairs and/or their faculty designates when appropriate.

Last revision:

March 2022: Revisions as a result of the Reimaging Faculty Council Task Force Recommendations and discussions held by SC and with FC.