

# **POLICY TITLE: Defining Administrators and Administrative Structure**

Contact: John L. Wilson

Effective Date: June 24, 1996

Approved By: University President's Cabinet



## **Defining Administrators and Administrative Structure**

**Purpose:** To provide consistent definitions of university administrative structure and of administrative positions over time and across reporting units.

### **Policy basis:**

ABOR policy (ABOR 2-301, 302) identifies various types of units on the basis of whether they “have separate identification in the university operating budget.” This policy identifies *academic* departments as units that offer degrees and course work in a field of study, have assigned faculty and staff, are responsible for all major teaching, research and public service in a field of study, and have separate identification in the university operating budget. No other definition of department is provided. ABOR also requires that we track, via the budget process, programs below the department level, such as centers, institutes, laboratories, and bureaus.

ABOR Policy (ABOR 6-101.B.3) identifies administrators as those involved in a number of planning, organizing, directing, controlling and evaluating activities of major units and gives as examples “vice presidents, deans, academic department heads and other positions as determined by the Board.” This policy also seems to include non-academic administrators who have a “direct role in planning, organizing, directing, evaluating, and controlling a major university function” as determined by the president of the university.

To achieve reporting consistency both internally and externally, and to further clarify the interpretation of ABOR definitions, the university also has adopted the definition of administrator used by Equal Employment Opportunity and Integrated Postsecondary Education Data Systems of the US Department of Education (EEO/IPEDS). In this definition, administrators are those whose assignments “customarily and regularly require the incumbent to exercise

discretion and independent judgment and to direct the work of others” and who head a department or higher level unit (See attachment).

**University Policy on Administrators:**

1. Administrative positions are:
  - a) Academic and non-academic positions whose principal responsibility includes or involves directing the management of one or more department(s)/equivalent(s), college(s) or larger unit(s) in the hierarchical structure of the University. Assistant and associate dean and assistant and associate director positions whose responsibilities fit this definition are identified as administrative positions.
  - b) Those filled by presidential or executive-level appointment whose scope of responsibility is University-wide. These include such positions as the Affirmative Action Officer, Associate Vice President for State Relations and Assistants to the President, as applicable.
  - c) Those that derive such status from an applicable law or regulation.
2. An administrator is any person appointed or assigned full-time to an administrative position. A list will be maintained of those classified under 1b and 1c above and will be reviewed annually.
3. New administrative positions can be created only with the approval of the Provost or the Senior Vice President for Business Affairs.
4. Administrator count will be the distinct number of people incumbent in all administrative positions (i.e., each person will be counted only once regardless of the number of administrative positions held). The count will include one acting or interim administrator for each vacant position.
5. Persons in all other managerial positions will be categorized as faculty or managerial professionals as appropriate.

**Departments:** A department or equivalent unit is one with budgetary, planning, reporting, and managerial responsibilities for funds, people, and programs. Departments report to a unit other than another department. Departments usually have more than one program or section and may include subunits like centers, laboratories, sections, offices, or bureaus. For example, an academic

department may have several degree, research and service programs; a support department may have several sections, or offices with different responsibilities. The EEO/IPEDS definition also specifies that departments have a significant proportion of professional employees rather than or in addition to technical, clerical, craft, and service/maintenance employees.

1. The office unit of an administrator above the level of department, e.g., a dean's or vice provost's or vice president's office, will be identified as a department if it has a separate budgetary identity.
2. Units that lack one or more of the above characteristics may still be departments if they are being phased in or out, or are at a level and in a position where corresponding units are defined as departments. Such identifications will be reviewed annually and departmental status changed as required by ABOR policy.
3. The following are not departments unless the unit also meets the definition of department for other reasons:
  - a. Centers, laboratories, bureaus, offices, committees, interdisciplinary programs, and grant funded programs either within departments or conducting cross-department activities,
  - b. Units or offices without a permanent budget managed at the discretion of the unit or office,
  - c. Units or offices with advisory, ombudsman, or representational responsibilities rather than programmatic ones., e.g., an office representing a particular group, an office that advises or provides staff functions for a senior officer.
4. Departments in similar academic areas are generally organized into colleges headed by deans. Departments/equivalents in the support, service and administrative areas generally are headed by a director, aggregated into divisions and managed by a deputy or associate vice president or related titles. Other departmental/equivalents report directly to a Senior Vice President, Vice President or Vice Provost such as the Museums, Cultural Affairs, Contracts Office, Space Management, University Instrument Shop, KUAT Communications, University Teaching Center and Health and Wellness Services.
5. Schools are generally similar to departments but are larger and usually have multiple sections representing different academic programs, etc. They are headed by a Director.

6. ABOR policy on the creation of departments will apply to departments as defined in this policy. It does not apply to the budgetary units identified in FRS/PSOS with a separate department number unless the FRS/PSOS department is also an administrative one.
7. All departments or equivalent units will be classified in the system as being one of the following 6 types based on their primary function and position in the structure:
  - a. Academic: offers academic courses and has regular faculty.
  - b. Administration: Role is administration of other units, e.g., deans, provost offices.
  - c. Academic Support: Provides support of academic programs, e.g., libraries, museums.
  - d. Service: Provides services mainly to off-campus customers, e.g., extension, ICA, Cultural Affairs.
  - e. Student Support: Provides services mainly to students or prospective students.
  - f. Institutional Support: Provides overhead services to the institution as a whole.

**Non- department units and programs** are of two major types:

1. Budgetary Units having a Financial Reporting System and Personnel Services Operating System (FRS/PSOS) unit number and funding faculty, professionals or staff but not meeting the definition of a department. Examples include many centers, institutes, laboratories, offices, sections, or bureaus. The heads of budgetary units will be categorized as managerial professionals.
2. Programs without a budget unit that defines the program, for instance, because most resources for the program come from outside the program. These programs may operate within a department, such as degree and research programs, or outside such as interdisciplinary programs or centers. Some programs have affiliated budgetary units, for instance, Applied Mathematics. Some centers, institutes, laboratories, offices, sections, or bureaus fall in this category. Heads of programs will be faculty, professionals or managerial professionals as appropriate and not all programs have heads, e.g., a degree program in a department.

**Organizational Change:** Organizational changes (creation, consolidation, transfer or termination of units or programs and responsibilities) are considered official once recorded by the office responsible for the university roll-up structure and the codings for administrators. The date of the change will be the date on which authority for the program, department or other unit(s) is assigned or reassigned.

To avoid confusion and reporting inconsistency, organizational changes will be reported as effective the July 1 closest to the actual change date (e.g., change takes place Sept. 6 but will be recorded as effective the previous July 1). If all parties agree and an overriding need for a different reporting date exists, then the reporting date can be the July 1 not closest to the change in authority date.

**Business Rules:** The following business rules provide a basis for identifying the university administrative structure and those people recognized as administrators under the above definitions.

1. Administrators will be categorized in three groups:
  - a. Executive level administrators, i.e., president, vice presidents, and vice provosts.
  - b. College and Division level administrators, e.g., deans, assistant and associate deans, associate vice president's, comptroller, etc. This group can be subdivided by area of responsibility. College administrators are those with responsibilities for and within a particular college; university administrators are those in support, service and administrative (SSA) units whose functions are university wide. Some college administrators also have university responsibilities and hence are also vice provosts.
  - c. Departmental level administrators, i.e., department heads and directors of both college and SSA departments.
2. Because both a person and a position can have more than one title, administrators cannot be defined by title alone. Administrative titles do not stay with a person when they leave the position. In this respect, administrative titles differ from faculty rank.
3. Only the title attaching to the unit and part of a position defined as administrative will be considered administrative. (An administrative position does not always equate to a Position Control Number (PCN) in PSOS, and a PCN may have multiple titles, not all of which are administrative. Thus, people holding more than one title can have both

administrative and non-administrative titles e.g., Dean of the College of ... and Professor of ....).

4. The following types of positions or titles will be considered professional rather than administrative:
  - a. (Special) assistants or associates to administrative positions and other similar positions.
  - b. All department managers within departments and below the level of department head.
  - c. Directors of centers, committees, interdisciplinary programs, grant funded programs, and other programs that are programmatic rather than departmental in character.
  - d. Assistant and associate directors at the department or equivalent unit level or below.
  - e. Assistant or associate deans for development and public relations activities or that serve in counseling, advising or ombudsman capacities without other administrative responsibilities.
  - f. Those that do not supervise professional employees.
5. The EMPLM\_CLASS "A" code in PSOS and the Appointed Personnel System shall apply only to positions and titles that meet the definition of administrator above.
6. When an administrative position is eliminated, the position will be reclassified as a professional vacant position unless it is being reassigned for a specific purpose. e.g., faculty or classified staff; it will cease being designated as administrative.
7. In addition to headcounts, administrators will be counted by FTE to reflect positions that are funded at less than 1 FTE or are split funded with non-administrative positions.
8. No organizational change will be complete until the appropriate Senior Vice President has approved it and the change has been recorded in the office responsible for the university roll-up structure and the codings for administrators. Procedures for recording organizational changes (creation, consolidation, transfer or termination of units or programs and responsibilities) will record at least the following information for all changes:
  - a. Name of the unit and person responsible (administrator or other head if any).

- b. Name of the unit and administrator the unit will report to.
  - c. Type of change: creation, consolidation, transfer, or termination of units or programs and responsibilities and whether the change results in a change of type of unit, e.g., program to department, college to school, etc.
  - d. Level of the unit, e.g., program, department, etc.
  - e. Effective date of the change for administrative purposes.
  - f. Effective date of the change for reporting purposes.
9. The office responsible for the university roll-up structure and the codings for administrators will be notified of all changes in administrative assignment by copy of the PCF or such other means as the responsible offices shall devise to ensure that university documentation of administrators and organization structure is complete and up-to-date.

**Attachment:**

EEO/IPEDS definition of administrator

## 5. PRIMARY OCCUPATIONAL ACTIVITY

### a. Executive, Administrative and Managerial

Include all persons whose assignments require primary (and major) responsibility for management of the institution, or a customarily recognized department or subdivision thereof. Assignments require the performance of work directly related to management policies or general business operations of the institution department or subdivision, etc. It is assumed that assignments in this category customarily and regularly require the incumbent to exercise discretion and independent judgment, and to direct the work of others. Report in this category all officers holding such titles as President, Vice President, Dean, Director, or the equivalent, as well as officers subordinate to any of these administrators with such titles as Associate Dean, Assistant Dean, Executive Officer of academic departments (department heads, or the equivalent) if their principal activity is administrative.

NOTE: Supervisory personnel of the technical, clerical, craft, and service/maintenance force will be reported within the specific categories of the personnel they supervise.

### b. Faculty

Include all persons whose specific assignments customarily are made for the purpose of conducting instruction, research, or public service as a principal activity (or activities), and who hold academic-rank titles of professor, associate professor, assistant professor, instructor, lecturer, or the equivalent of any one of these academic ranks. Report in this category Deans, Directors, or the equivalents, as well as Associate Deans, Assistant Deans, and executive officers of academic departments (chairpersons, heads, or the equivalent) if their principal activity is instructional. Do not include student teaching or research assistants.

### c. Professional Non-Faculty

Include in this category persons whose assignments would require either college graduation or experience of such kind and amount as to provide a comparable background. Included would be all staff members with assignments requiring specialized professional training who should not be reported under Activity 1 (Executive) or Activity 2 (Faculty), and who should not be classified under any of the four "nonprofessional" categories of activities.

### d. Clerical and Secretarial

Include all persons whose assignments typically are associated with clerical activities or are specifically of a secretarial nature. Include personnel who are responsible for internal and external communications, recording and retrieval of data (other than computer programmers) and/or information and other paper work required in an office, such as bookkeepers, stenographers, clerk typists, office-machine operators, statistical clerks, payroll

employed full time in the bookstore, and library clerks who are not recognized as librarians.

### e. Technical and Paraprofessionals

Include all persons whose assignments require specialized knowledge or skills which may be acquired through experience or academic work such as is offered in many 2-year technical institutes, junior colleges or through equivalent on-the-job training. Include computer programmers and operators, drafters, engineering aides, junior engineers, mathematical aides, licensed, practical or vocational nurses, dietitians, photographers, radio operators, scientific assistants, technical illustrators, technicians (medical, dental, electronic, physical sciences), and similar occupational-activity categories but which are institutionally defined as technical assignments.

Include persons who perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status. Such positions may fall within an identified pattern of staff development and promotion under a "New Careers" concept.

### f. Skilled Crafts

Include all persons whose assignments typically require special manual skills and a thorough and comprehensive knowledge of the processes involved in the work, acquired through on-the-job training and experience or through apprenticeship or other formal training programs. Include mechanics and repairers, electricians, stationary engineers, skilled machinists, carpenters, compositors and type-setters.

### g. Service/Maintenance

Include persons whose assignments require limited degrees of previously acquired skills and knowledge and in which workers perform duties which result in or contribute to the comfort, convenience and hygiene of personnel and the student body or which contribute to the upkeep and care of buildings, facilities or grounds of the institutional property. Include chauffeurs, laundry and dry cleaning operatives, cafeteria and restaurant workers, truck drivers, bus drivers, garage laborers, custodial personnel, gardeners and groundskeepers, refuse collectors, construction laborers and security personnel.