

**PERSONNEL POLICY AND PROCEDURES**  
**Department of Comparative Humanities**  
**College of Arts and Sciences**  
**University of Louisville**

The Personnel Policy of the Department conforms with the Personnel Policy of the College of Arts and Sciences and to the University Redbook, Chapter IV.

**PREFACE**

The nature and quantity of a faculty member's responsibility for teaching, for research and creative activity, and for service shall be defined annually in the Annual Work Plan (AWP) that each of its members creates with the Chair's input. Such agreements are intended to reconcile the professional talents and interests of the individual faculty member and the needs of the program in fulfilling its total mission with reference to its various undergraduate and graduate programs; to the College of Arts and Sciences, the Graduate School, and the University; and to the professional disciplines represented in the department. The Department of Comparative Humanities recognizes that its faculty members represent different disciplines and are also involved in interdisciplinary work. Judgment of evidence of performance shall be based on both intramural peer evaluations as well as extramural peer evaluations. All contributions will be judged on their merits, on the basis of their individual quality and of their significance to the department's mission. While individual AWP agreements necessarily vary, the Department of Comparative Humanities values and evaluates faculty work in all three categories: teaching, research and creative activity, and service.

**Article 1 - Faculty Appointments and Tenure**

**Section 1.1 - Types of Appointments**

A. Any full-time faculty appointment shall be one of three kinds:

1. nontenurable (Arts and Sciences Personnel Policy, Section 1.2)
2. probationary (Arts and Sciences Personnel Policy, Section 1.3)
3. tenure (Arts and Sciences Personnel Policy, Section 1.4)

B. Part-time appointments

1. Part-time faculty shall be those appointed by contract to teach specified courses or perform specific duties less than full time. The Dean may appoint or reappoint part-time faculty for each academic term at the convenience of the University on standard contract terms approved by the Executive Vice President and University Provost. No part-time appointment, continuation, or renewal thereof, regardless of assignment or seniority, shall result in acquisition of tenure or imply renewal for subsequent periods. Part-time faculty shall hold rank according to education and experience. Part-time faculty shall be reviewed in writing annually, and these evaluations will be maintained in the Dean's Office. Part-time faculty are not eligible for sabbaticals or other academic leaves. Part-time faculty may participate in university and unit governance as permitted by University and College Bylaws. Such service shall be accounted for and recognized in the individual contract.

2. Ranks

a. In normal circumstances, persons appointed at the rank of Lecturer shall hold a graduate

degree in the field in which they teach. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall, in any event, give promise of proficiency in teaching, or, if applicable, performing specific duties stipulated in their contract.

b. In normal circumstances, persons initially appointed at the rank of Senior Lecturer I shall hold the recognized terminal degree in the field in which they teach. Those holding the rank of Lecturer may be promoted to Senior Lecturer I on the basis of a record of proficient teaching, or, if applicable, service and / or research and creative activity in the College.

c. Promotion to the rank of Senior Lecturer recognizes exceptional performance in teaching or, if applicable, in service and / or research and creative activity.

### 3. Procedures for Evaluations for Promotion of Part-time Faculty

a. Promotion may be considered after a part-time faculty member has held one rank for at least ten semesters in no fewer than five years in the College. (Summer teaching counts as one semester.) A part-time faculty member whose promotion is denied must wait at least four more semesters before requesting promotion again.

b. Part-time faculty initiate their promotion reviews by submitting to their department chair a promotion file that includes a curriculum vitae in standard College format, annual College merit evaluations, numerical teaching evaluations, peer reviews of teaching, and syllabi (if developed by the part-time faculty member); and, if applicable, promotion files may also include teaching awards, evidence of course or curriculum development and / or evidence of research and creative activity.

c. The promotion file is first reviewed by the department chair and then forwarded to the Dean for review. If the part-time faculty member responds to the chair's written evaluation, the response will also be forwarded to the Dean. The Dean will provide a written review of the evidence in the file. The part-time faculty member may appeal the decanal evaluation and recommendation. All evaluations and responses shall become a permanent part of the part-time faculty member's file.

d. The College of Arts and Sciences Personnel Committee will act as the College Committee on Appeals. Any part-time faculty member may request a review by the Arts and Sciences Personnel Committee of the Dean's decision on a promotion case. The result of that review will then be forwarded to the Dean as a recommendation.

e. The Dean of the College shall establish such guidelines and deadlines as shall be necessary to insure uniformity, efficiency, and effectiveness in implementing the review and evaluation process. These guidelines, however, cannot create new policy but are restricted to administration of the current personnel policy. Such guidelines and any subsequent changes must be approved by the College of Arts and Sciences Personnel Committee.

### C. Emeritus faculty

The honorary title of Emeritus faculty may be conferred upon retired faculty if requested by the department or unit faculty and the Dean, and if approved by the President and Board of Trustees. The University community can benefit greatly from Emeritus Faculty presence on campus and continued professional activities, including teaching, research, and service. Therefore, Emeritus Faculty should be provided library and email privileges and support facilities. They may also assist with undergraduate and graduate research projects and they

may undertake primary supervision of new student research projects with the approval of the Dean.

#### D. Adjunct Faculty

Adjunct appointments are normally offered to persons who are not full-time faculty members of the College or Arts and Sciences but with whom the College or one of its departments wishes to establish a formal relationship. Adjunct faculty members are expected to have the same academic qualifications as member of the regular faculty, and they may hold rank from adjunct instructor to adjunct professor. Persons holding adjunct appointments may be chiefly employed by a school or university other than the University of Louisville, by the University of Louisville in a non-academic position, or by another organization. They are not normally compensated as adjunct faculty, but may be compensated by contract for specific part-time services. Adjunct appointments are for terms of up to three years and they may be renewed.

### **Section 1.2 - Nontenurable Full-Time Appointments**

#### 1. Temporary Appointments

Temporary appointments to the various academic ranks are those made for less than one year or for special purposes. In no case shall temporary appointments or renewals result in the acquisition of tenure. Temporary faculty shall not be eligible for tenure or count toward time for acquisition of tenure, regardless of assignment or seniority. Temporary faculty are not eligible for sabbaticals or other academic leaves but will have access to the same grievance procedure as other full-time faculty. (See Redbook 4.4, Appendix 1.)

#### 2. Term Faculty Appointments

1. All nontenurable full-time faculty who do not hold temporary appointments will be called Term Faculty.
2. Term faculty shall be full-time faculty appointments without tenure for a stipulated contract period not to exceed three years. Such appointments are not probationary appointments and no such appointments, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent terms. Term faculty are not eligible for sabbaticals or other academic leaves.
3. Term faculty may be funded through general funds, restricted funds, or other designated revenues. The number of term faculty appointments funded through general funds must be fewer than 20 percent of the total number of probationary and tenured appointments in the College.
4. Term faculty appointments may be renewed at the pleasure of the University if the Chair of the department and the Dean determine that the services of the incumbent are needed for the renewal term.
5. Faculty on term appointments may apply for and be appointed to probationary appointments.
6. Term faculty shall meet the minimal standards for probationary appointment at the designated rank, although specific variation in assignments may be designated in the contract and specified in the Annual Work Plan.
7. Participation in College Governance shall be specified in the College By-Laws.
8. Working with the department Chair, term faculty shall present an Annual Work Plan for the approval of the Dean. The work plan shall specify the responsibilities of the faculty member for teaching, research and creative activity, service and other institutional obligations for the faculty member's presence on campus.
9. Annual review of term faculty shall be initiated by the Chair in coordination with the designated departmental review committee, and shall follow the process for annual

review of probationary or tenured faculty. Assessment for annual review shall include teaching, research and creative activity, and service, but review shall consider only those areas assigned in the Annual Work Plan.

10. Term faculty whose annual reviews attest to their proficiency shall receive a salary increase as outlined in the Arts and Sciences Personnel Policy.
11. Promotion in rank may be considered after a term faculty member has served six consecutive years in rank. Procedures for the promotion of term faculty shall be the same as for probationary or tenured faculty. Criteria shall include proficiency in teaching, research and creative activity, and service, but only the areas included in the contract or in the Annual Work Plan will be assessed.
12. Extramural review shall be required for promotion for those term faculty whose annual work plans include research and creative activity.
13. Term faculty will have access to the same grievance procedure as other full-time faculty. (See Redbook 4.4, Appendix 1.)

### **Section 1.3 - Probationary Appointments**

#### **A. Definition**

Probationary appointments shall be appointments of full-time faculty members without tenure other than those described in Section 1.2, provided, however, that no probationary appointment to the College shall extend beyond the period when tenure is normally granted (See Arts and Sciences Personnel Policy, Section 2.2).

## B. Instructors

Probationary appointments to the rank of instructor shall be made only under extraordinary circumstances. If such appointments are made, they will be for stipulated terms of one year each and the persons appointed as instructors shall have completed all work required for the award of the required terminal degree in their area of specialization, with the exception of the thesis or dissertation. They shall, in any event, give promise of proficiency in teaching, research and creative activity, and service.

## C. Assistant and Associate Professors

Probationary appointments to the rank of assistant or associate professor shall be for stipulated terms not to exceed two years for the initial appointment, nor three years for appointments made thereafter.

In normal circumstances, persons appointed as assistant professors shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall, in any event, give promise of proficiency in teaching, research and creative activity, and service.

In normal circumstances, persons appointed or promoted to the rank of associate professor shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall have shown evidence of having attained proficiency in teaching, research and creative activity, and service, and shall give promise of continuing performance at proficient levels in these areas. The evidence of both proficiency and continuing promise of proficiency in research and creative activity shall include extramural evaluation.

## D. Professors

Professors shall be awarded tenure if employed subsequent to the initial probationary period. In normal circumstances, persons appointed or promoted to the rank of professor shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall show evidence of having attained proficiency in teaching, research and creative activity, and service and of superior achievement and recognition in at least one area, and shall give promise of continuing performance at or above such levels. Evaluation of scholarship shall include extramural evaluation.

## **Section 1.4 - Tenure Appointments**

### **A. Definition**

Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous full-time employment without reduction in academic rank until retirement or dismissal as provided in The Redbook. Tenure is granted in an academic unit in accordance with the procedures established in The Redbook.

### **B. Tenure Recommendations**

Recommendations concerning the award or denial of tenure shall originate in the faculty of the College. In normal circumstances, tenure shall be recommended for persons promoted to the rank of associate professor or professor who already hold academic appointment in the College of Arts and Sciences. Tenure may be recommended for persons whose initial appointment in the College is at the rank of associate professor or professor. Persons recommended for tenure shall hold the recognized terminal degree in their field of specialization, or shall present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. Persons recommended for initial appointment as associate professor or professor shall meet the criteria stipulated for promotion to those ranks. Waivers or accords about credit toward tenure shall be stipulated in the letter of offer.

### **C. Establishment of Tenure Date**

For probationary appointments, the date of mandatory tenure and the number of years of previous full-time service to be counted toward acquisition of tenure shall be stipulated by the Executive Vice President and University Provost and agreed to in writing by the nominee before the appointment is made by the Board of Trustees.

## **Article 2 - Faculty Personnel Reviews**

Personnel reviews in Humanities shall reward performance in teaching, research and creative activity, and service. Personnel reviews shall be based upon peer evaluation of a documentary record that includes qualitative and quantitative evidence of performance. Proficiency in the areas of teaching, research and creative activity, and service shall normally be required of all faculty members, unless responsibility for some area or areas is excepted in this document or specified in writing at the time of the initial appointment. Tenure and promotion processes are separate from annual review.

## **Section 2.1 - Annual Reviews**

A. The annual review constitutes a holistic assessment of performance across the range of faculty activity, including contributions to the missions of the program, college, and university. For faculty members with joint appointments, the annual review will follow the procedures outlined in the Arts and Sciences Personnel Policy.

- a. Evaluation of performance must be made in accordance with the AWP.
- b. Each full-time faculty member shall be reviewed annually. Annual reviews shall take into consideration achievement for the year under review and two years preceding it. Reviews become part of the record for all subsequent personnel reviews and the basis for salary increases.
- c. Each part-time faculty member must provide materials to the Chair who will submit a

performance evaluation to the Dean. Copies of results of student evaluations for all courses taught at the University of Louisville during the review period must be submitted, along with other materials to be determined by the department. Each part-time faculty member will be provided the performance evaluation in writing and shall be given the opportunity to respond to the evaluation and to any recommendations for improvement. The reviews will be preserved in the Dean's Office.

d. Annual review of Graduate Teaching Assistants is the responsibility of the graduate program in which they are enrolled. Copies of results of student evaluations for all courses taught at the University of Louisville during the review period must be reviewed, along with other materials to be determined by the graduate program.

e. Faculty who have administrative appointments shall be reviewed for their administrative services as well as for their other faculty responsibilities. Such reviews will be initiated by the department and will involve consultation with appropriate faculty and administrators. Each department shall develop specific policies for the evaluation of Chairs. These must include gathering specific assessments of the Chair's performance from individuals such as the Dean. The department Chair, together with the department personnel committee, will be responsible for identifying such individuals. The form of such reviews shall be established within the department's guidelines. These evaluations must be incorporated into the annual review of that individual.

f. The evaluation of the Chair shall take into consideration the performance of administrative duties and other faculty responsibilities. The Chair will be reviewed by the Personnel Committee, which will then offer a recommendation to the Dean. In its review of the Chair, the Committee shall solicit assessments of the chairperson's performance from other faculty, staff, and administrators who have worked with her/him in her/his administrative capacity. The review of the Chair will proceed according to Arts and Sciences Personnel Policy. The Chair's administrative performance will be reviewed using the following criteria: open and timely communication with all members of the Program; efficient, collegial and effective handling of routine Program responsibilities in regard to students, staff and faculty; democratically supported resolution of problems within the Humanities; effective advocacy for the Program within the College and the University; helpful support and leadership in Program planning; and successful outreach to the greater community.

g. Each faculty member will be informed of the performance evaluation in writing and accorded an opportunity to respond to the evaluation. The Personnel Committee will submit a performance evaluation of the faculty member to the Chair, who subsequently submits an evaluation to the Dean. The Dean's performance evaluation is final, subject to appeal, as outlined in Arts and Sciences Personnel Policy, 2.1.C.5.

h. Humanities faculty members must submit dossiers documenting their annual performance during the previous academic year. Summer teaching is considered in the year in which it was initiated. The faculty member is responsible for compiling the file in a timely and well-organized fashion.

- i) Dossiers will include an updated Curriculum Vitae, a copy of AWP's for the year under review and the two preceding years, a summary list of all activities organized according to AWP categories; and, if the faculty member wishes, a memorandum

- on any aspect of the file.
- ii) Dossiers must also include information relevant to quality of instruction, including copies of results of student evaluations for all courses taught at the University of Louisville during the period of review. Faculty members may also choose to include peer reviews, syllabi, and other evidence related to teaching as noted above.
- iii) Copies of all manuscripts, conference papers, articles, and/or books shall be submitted for examination by the personnel committee upon their request. Extramural review is optional for annual review.

### C. Criteria for Evaluation

#### i) TEACHING

The Division of Humanities strongly encourages and values teaching that stimulates active learning and critical, creative thinkers. It is carefully organized, planned and continuously evaluated. Regardless of its setting, proficient teaching uses faculty expertise to deepen the way students engage with and understand the subject matter. Course syllabi and other instructional materials, student evaluations, peer reviews, and evidence of mentoring students may be used to demonstrate proficiency in teaching. (See Arts and Sciences Personnel Policy, 2.2.F.2). The following categories of contribution are considered:

- a. Regularly scheduled courses within the university, whether for Humanities or other departments or programs.
- b. Team teaching; guest lecturing; the development of new courses, programs, or teaching techniques.
- c. Direction of independent studies, internships, honors essays, culminating projects, graduate theses, and dissertations.
- d. Student advising.
- e. The preparation of pedagogical materials and/or technologies.
- f. Participation in the processes of designing, implementing, and/or evaluating the instructional programs of the program.
- g. Attendance and participation in pedagogical workshops or conferences relevant to the faculty member's teaching area(s).
- h. The preparation and submission of proposals for internal or external grants or other support for teaching.
- i. Direction and mentoring of graduate teaching assistants, as well as shadowing where appropriate.

**The following categories of evidence may be submitted to the Personnel Committee to assess the quality of a faculty member's performance in teaching:**

- a. Student evaluations of teaching performance.
- b. Direct observation and written evaluation of teaching by a faculty mentor.
- c. Instructional materials and technologies: print and online course descriptions, syllabi, exercises, examinations, handouts, outlines; course webpages, listservs, and related resources that reflect the faculty member's professional and pedagogical expertise.
- d. Intramural or extramural prizes, awards, honors, or other such significant testimonies to the success of work in this area.
- e. Evidence of student performance: papers, webpages, research or creative activities or

other material reflecting on the faculty member's contribution to innovative teaching.

## ii) RESEARCH AND CREATIVE ACTIVITY

The Division of Humanities recognizes research and scholarly activity as the contribution of knowledge to the faculty member's discipline or to the interdisciplinary field of the division. Such activities ordinarily fall within one or another of the categories as prioritized below, but exceptions may be submitted to the committee for consideration in consultation with the Chair.

- a. The publication of research or creative work in books, journals, electronic media, or exhibitions that are refereed by professional peers. Also critical editions, translations of book-length manuscripts, and reference works.
- b. Editing of collections of essays, anthologies of creative activity, professional journals or magazines, insofar as such editing can be shown to constitute contribution to the knowledge in the field.
- c. Publication of essay-reviews and reviews.
- d. Research papers presented to professional groups of one's peers.
- e. Publication of textbooks insofar as these can be shown to constitute contribution to the knowledge in the field.
- f. The production of manuscripts to be submitted for publication or for reading before groups of one's peers. Evidence for work in press or process includes correspondence with publishers or referees as well as conference organizers.
- g. The preparation and submission of proposals for grants and fellowships. Research activity of an extended nature clearly directed toward eventual preparation of manuscripts to be submitted for publication or for reading before groups of one's professional peers.

**The following categories of evidence may be submitted to the Personnel Committee to assess the quality of a faculty member's performance in scholarship or creative activity:**

- a. Publications in book, serial form or electronic form; manuscripts or abstracts accepted or submitted for publication or for presentation in a professional forum; drafts or comparable documents that reflect the progress of ongoing work; broadcasts; and other forms of publication relevant to the faculty member's discipline.
- b. Evidence of the circulation of the products of the research and creative activity: correspondence with publishers or referees, rejection and acceptance notices, conference programs, and the like.
- c. Intramural or extramural prizes, awards, honors; published reviews; or other such significant testimonies to the success of work in this area.

## iii) SERVICE

The Department of Comparative Humanities values the service contributions of its faculty. Service includes work that contributes to the functioning of the program, college, university, profession, or the greater community.

The following categories are generally considered:

### 1) Service to the University

- a. Administration, such as chairing Humanities or serving as Vice-Chair, Graduate or Undergraduate Advisor.
- b. Membership on and chairing of departmental committees.
- c. Hosting and organizing lecture series.
- d. Departmental duties such as general advising; aiding students in the pursuit of employment, scholarships, and admission to graduate or professional school; organizing special events; participating in departmental governance; and unstructured service to students and colleagues.
- e. Participation in such non-departmental duties as regular and special meetings or divisional, collegiate, and graduate school activities.
- f. Other recognized service to the institution.

## 2) Service to the Profession

- g. Organizing professional conferences, meetings, or related endeavors that draw on the faculty member's scholarly or creative expertise.
- h. Work in professional organizations, such as holding elective or appointive office, performing administrative duties, service on professional committees.
- i. Consulting services to academic departments or organizations, including letters of recommendation for colleagues, extramural reviews.
- j. Work for scholarly presses as well as research or creative publications such as manuscript reviews and refereeing.

## 3) Service to the Community

- k. Lectures, readings, and other presentations to community groups.
- l. Service on boards or other forms of governance of community organizations, when relevant to the faculty member's scholarly or creative expertise.
- m. Organization of events and programs for community groups, when relevant to the faculty member's scholarly or creative expertise.

## D. Merit salary increases

The annual review serves as the basis for individual faculty merit salary increases. In addition, it is conceived to encourage the entire Department to be conscious of standards and expectations, to take note of areas where improvement is warranted, and to collectively recognize celebrate the achievements and successes of colleagues.

## I. Distribution of Funds

In weighing the various levels of contribution to the department's efforts in achieving its mission, the division uses a 4 point holistic scale which evaluates individual faculty performance in relationship to the individual's AWP.

- 0 = not proficient
- 1 = proficient
- 2 = highly proficient
- 3 = exceptional

A 0-point evaluation indicates that the faculty member has not fulfilled obligations as outlined in his/her AWP and is thus not entitled to a share of the division's annual allotment of funds. A 1-point evaluation indicates that the faculty member has fulfilled

the obligations of his/her AWP and is entitled to a full share of the annual allotment for the division. A 2-point evaluation is worth 110% of a full share of the division's annual allotment. A 3-point evaluation is worth 125% of a full share of the division's annual allotment. The Division will allot 50 % of its allotment as a straight percentage calculation of base salary, and 50% on a lump sum distribution.

## **2.2 Pre-Tenure, Tenure, Promotion, and Periodic Career Reviews**

All reviews in these categories are governed by relevant sections of the College of Arts and Sciences Personnel Policy; as stated in that document, only tenured or tenure-track faculty in Humanities shall vote in the pre-tenure, tenure and promotion cases of faculty. Any faculty member in Humanities who carries a significant teaching load in another department may request that the other department exceed the requirements specified in Arts and Sciences Personnel Policy for participating in their review.

### **A. Pretenure review**

Pretenure review is a procedure that determines whether or not a faculty member is making satisfactory progress toward achieving tenure. A positive pretenure review is not a promise of an eventual tenure grant. A pretenure review will take place at the mid-point of a faculty member's probationary period. No later than August 1 of the academic year in which the review is to take place, the department Chair shall inform the faculty member in writing that the review is to take place. In the event that an individual's career pattern does not fit the normal progression that case shall be treated on its own merits, determining whether or not the hiring process constituted a pretenure review. Pretenure review shall be conducted by the Core Faculty, Chair, Arts and Sciences Personnel Committee, and the Dean. The standard for a positive pretenure review shall be an affirmation that continuation of the activity documented in the file, will likely fulfill the stated tenure criteria. In the event that the department evaluation is negative, the written evaluation must also include recommendations to the faculty member for ameliorating the situation documented by the review.

Pretenure review shall involve an examination of activity in the areas outlined in Section 2.2.F. of Arts and Sciences Personnel Policy. Standards of judgment for the areas of activity shall be the same as those outlined in Section 2.2.F. of Arts and Sciences Personnel Policy. For the purpose of pretenure review, extramural review is optional. The record compiled for pretenure review shall be maintained intact as part of the evidence to be considered in tenure review.

### **B. Evaluation for Tenure**

The Department of Comparative Humanities will follow Arts and Sciences Personnel Policy, as stated in Section 2.2.H.

### **I. Procedures for Reviews and Evaluations for Tenure and Promotion, or Promotion alone.**

The Department of Comparative Humanities will follow Arts and Sciences Personnel Policy, as stated in Section 2.2.I. and 2.3.

Submitted by the Faculty  
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