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College of Education and Human Development
University of Louisville
Personnel Policies and Procedures

The Personnel principles of the College of Education and Human Development are established by Chapter 4 of *The Redbook*. This unit document is founded on those principles and details the criteria, standards and procedures used within the College, subject to *The Redbook*.

PREAMBLE

The current edition of *The Redbook*, which contains the general personnel policies and procedures of the University of Louisville, establishes the faculty's shared responsibility for such matters. The faculty of the College of Education and Human Development endorses the 1966 *Statement on Government of Colleges and Universities*, promulgated by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of Universities and Colleges. The *Statement*, which represents the generally accepted standards of "appropriately shared responsibility and cooperative action among the components of the academic institution," will be used as a guide for interpreting the particular articles of the following personnel policies and procedures, especially when disputes arise regarding application of the policies and procedures.

Faculty should be aware of their responsibilities regarding shared governance, and should be encouraged to participate. At the same time, the colleges and schools should regularly re-evaluate their committee structures, adding, changing, or dissolving committees to make sure that they are serving present governance needs effectively. Also, it is important that in-service training is conducted for new faculty and other interested faculty members to acquaint them with the concepts, policies, practices, and procedures of faculty governance. New faculty orientation might be the best time for this purpose.

THE PERSONNEL COMMITTEE

The Personnel Committee shall advise the dean on all personnel matters affecting the faculty: appointment, promotion, tenure, salaries, individual personnel problems, and general personnel policies and procedures.

- The Personnel Committee shall advise the dean and make recommendations at the dean's request or on the Committee's own initiative. The Committee may act upon the recommendation of one of its members or upon being petitioned by a faculty group or an individual faculty member.
- The Personnel Committee shall meet privately to consider matters involving individual faculty members and shall make its recommendations regarding these matters in writing to the dean, who shall meet with the Committee to hear the reasoning of its members before taking action contrary to the Committee's recommendations.
- The dean shall provide the Personnel Committee with complete information on any matter brought before the Committee. The dean shall inform the Personnel Committee of all administrative decisions on matters which the Committee has discussed and on which it has made recommendations. The dean shall then inform the faculty member concerned and the faculty member's department chairperson of the Committee's recommendation and the dean's decision. These results shall be recorded by the Committee secretary.
- Any member of the faculty may, upon written request, appear before the College Personnel Committee to discuss any personnel matter affecting the faculty member and to ascertain the Committee's recommendation in the case.
- The Personnel Committee shall keep discussions and recommendations confidential if they involve individual faculty members; however, the Committee, in session, may in matters of fact finding, elect

59 to seek additional input from faculty and/or administrators not on the committee.
60

- 61 • Before making a negative recommendation regarding a faculty member's tenure decision, the
62 Personnel Committee shall invite the faculty member to meet with the Committee.
63
- 64 • The Personnel Committee's recommendations on all personnel matters shall be presented to the
65 dean with a clear and concrete explanation, and a copy of this recommendation shall be provided to
66 the faculty member concerned and the faculty member's department chairperson.
67
- 68 • The Personnel Committee and its individual members shall communicate and consult with individual
69 faculty members and with the faculty as a whole regarding personnel practices, procedures, and
70 policies in the College.
71
- 72 • The Personnel Committee may invite any faculty member who is leaving the university to make a
73 written statement (or to meet with the Committee) regarding the College's personnel practices,
74 procedures, and policies.
75
- 76 • Personnel decisions in the College of Education & Human Development shall be based on evidence
77 collected, organized, and presented by faculty members undergoing review, in cooperation with their
78 department chairperson. It is the responsibility of each person being reviewed to provide useful
79 information which will facilitate the decision-making process, and it is the responsibility of each person
80 involved in the review process to protect the integrity of the review file (the triptych or other review
81 portfolio).
82
- 83 • At all stages of the review process within the College of Education & Human Development, reviewers
84 shall assess the same body of evidence.
85
- 86 • Once the review file has been compiled and while it is being reviewed within the department, it is in
87 the custody of the department chairperson, who shall control access to the file.
88
- 89 • Once the review file has been forwarded to the dean via the College Personnel Committee, it is in the
90 custody of the dean, who shall control access to the file while it remains in the College of Education &
91 Human Development.
92
- 93 • Once the review file has been compiled, no additional evidence (as distinct from the recommendation
94 of reviewers or rebuttals by the faculty member undergoing review as provided for in this document)
95 shall be added to the review file unless it is made available to all reviewers.
96
- 97 • Recommendations of reviewers and any other material added to a candidate's review file shall
98 become part of the file. The candidate may examine any material in the file, but the person who has
99 custody of the file shall ensure that the candidate is not informed of the identity of evaluators.
100
- 101 • The faculty member undergoing review shall be informed in writing of any evidence or charge of
102 misconduct that has been included in the review file and shall have the opportunity to respond in
103 writing to such evidence or charge. The faculty member's written response or a written statement that
104 the faculty member has declined to respond shall be included in the review file and shall be made
105 available to all reviewers.
106
- 107 • Faculty members undergoing review may appeal decisions of the dean in accordance with
108 procedures established in *The Redbook*.

109 **Article 1.0 Faculty Appointments and Tenure**

110 **Sec. 1.1 Types of Appointments**

111
112
113
114 The College follows the policies and procedures stated in *The Redbook* (See 4.1.1 and specifics under
115 4.1.2, 4.1.3, and 4.1.4):
116

- 117 A. Full-time faculty *appointment* shall be one of three kinds: 1) nontenurable, 2) probationary, or 3)
118 permanent tenure
119
- 120 B. Part-time faculty shall be appointed by contract to engage in specified instruction, research or
121 service/administration. Part-time faculty roles and titles are as follows: If part-time faculty is hired
122 to teach, title shall be 1) adjunct instructor or 2) adjunct professor. If part-time faculty is hired to
123 engage in research, title shall be 1) a research scientist or 2) a senior research scientist. If part-
124 time faculty is hired to supervise or perform service/administratively duties, title shall be 1) a
125 coordinator or 2) a senior coordinator. These classifications shall be based on part-time faculty's
126 academic qualifications, experience or seniority. Part-time faculty appointments shall not be
127 eligible for tenure or count toward time for acquisition of tenure.

128
129 Part-time faculty may be elected to the Faculty Senate and may be appointed or elected to
130 university or CEHD committees as specified by the contract. College of Education & Human
131 Development shall specify to which extent part-time faculty may serve on CEHD committees.
132 Part-time faculty shall not be given committee assignments without remuneration and all such
133 service shall be recognized and accounted for in Part-time faculty's contract.
134

135 Part-time faculty shall be included in the development of their performance criteria and the
136 process for changing status from an adjunct instructor to an adjunct professor; a research
137 scientist to a senior research scientist; and a coordinator to a senior coordinator. These criteria
138 shall be noted in part-time faculty's contract and annual workplan. The criteria for appointment
139 and promotion of part-time faculty shall focus on the specific work expectations of the faculty
140 member (i.e., teaching, service, research).
141

142 Part-time faculty in CEHD shall only be judged on their specific work expectations. The criteria in
143 each area shall be the same as those for tenure and promotion of tenure-track faculty, although
144 only one or two work expectations may be evaluated. Part-time faculty shall be reviewed
145 annually in writing and these reviews shall be maintained in the office of the Dean.
146

147 The criteria for appointment and promotion of part-time faculty shall focus on the specific work
148 expectations of the faculty member (i.e., teaching, service/administration, research). The College
149 of Education and Human Development shall provide electronic or other form of notice of part-time
150 teaching opportunities to hire the most qualified part-time faculty and make the hiring process as
151 open as possible.
152

- 153 C. Emeritus appointments, either part-time or full-time, should originate in the departments. A
154 department personnel committee recommendation along with the recommendation of the chair
155 should be sent to the CEHD Personnel Committee, who in turn will make their recommendation to
156 the CEHD Dean. The department's recommendation should include a narrative summary citing
157 the professional accomplishments and record of the university service of the retiring faculty
158 member. The Dean will then forward a recommendation to the Provost. This recommendation
159 must be approved by the President and the Board of Trustees.
160
161

162 **Sec. 1.2 Nontenurable Full-Time Appointments**

- 163
164 A. Temporary Appointments
165

166 Temporary appointments to the various academic ranks may be made for specifically limited time
167 periods less than one year or for special purposes. In no case shall a temporary appointment or a
168 renewal thereof result in the acquisition of tenure.
169

- 170 B. Term Faculty Appointments
171

172 Term faculty appointments pursuant to Redbook Section 4.1.1 are available in two types: Clinical
173 faculty appointments and research faculty appointments. Clinical and research faculty may be
174 appointed for a contract period not to exceed 3 years. Such appointments shall not be tenurable.
175 No clinical or research contract, continuation, or renewal shall result in the acquisition of tenure or
176 imply renewal for subsequent terms.

- 177
- 178 1. Clinical faculty appointments are faculty appointments that may be funded through general
179 funds, restricted funds, or clinical revenues. Research faculty appointments are faculty
180 appointments funded through external grants, contracts, or other research allocations.
181
 - 182 2. Clinical faculty appointments are available at the following ranks: Lecturer, Senior Lecturer,
183 Distinguished Lecturer, Assistant Clinical Professor, Associate Clinical Professor, and Clinical
184 Professor. Clinical faculty perform teaching, research, service, and/or administrative functions
185 in academic, clinical, or field settings in connection with an established academic program of
186 the College.
 - 187
 - 188 a. Clinical faculty appointments at the ranks of Lecturer, Senior Lecturer, and Distinguished
189 Lecturer shall hold, as a minimum, a master's degree and successful experience in clinical or
190 professional practice in a field of specialization in the academic program to which he/she is
191 appointed.
 - 192
 - 193 b. Clinical faculty appointments at the ranks of Assistant Clinical Professor, Associate Clinical
194 Professor, and Clinical Professor shall hold, as a minimum, an earned doctorate or other
195 appropriate terminal degree, or be working towards completion of an earned doctorate with a
196 reasonable expectation of completion within the initial appointment period, in a field of
197 specialization in the academic program to which he/she is appointed.
 - 198
 - 199 3. Research faculty appointments are available at the following ranks: Assistant Research
200 Professor, Associate Research Professor, and Research Professor. Faculty appointed at the
201 rank of Assistant Research Professor, Associate Research Professor, and Research
202 Professor shall hold, as a minimum, an earned doctorate or other appropriate terminal degree
203 in a field of specialization in the academic program to which he/she is appointed. Research
204 faculty appointments shall have a minimum workplan assignment of 60 percent in Research.
205
 - 206 4. The contract renewal review by the Dean shall serve as the periodic career review of Clinical
207 and Research faculty. The College's bylaws specify issues regarding participation and
208 franchise in unit governance.
209
 - 210 5. A nontenable faculty member shall be eligible to apply for and be appointed to a tenurable
211 position. The Provost's letter of appointment shall state whether and to what extent the new
212 appointment shall consider time served in nontenable status as prior service (Section
213 4.1.2.B.4 of *The Redbook*).
214

215 **Sec. 1.3 Probationary Appointments**

- 216
- 217 A. Definition
218 No probationary appointment to the University shall extend beyond the period when tenure would
219 normally be granted (Section 4.2.2).
220
 - 221 B. Instructors
222 Probationary appointments to the rank of Instructor shall be for stipulated terms of one year each.
223
 - 224 C. Assistant and Associate Professors
225 Probationary appointments to the rank of Assistant or Associate Professor shall be for stipulated
226 terms not to exceed two years on the initial appointment, nor three years for appointments made
227 thereafter.
228
 - 229 D. Professors

230 Professors shall be awarded tenure if employed subsequent to the initial probationary
231 appointment.
232

233 **Sec. 1.4 Continuous Appointments (Tenure)**

235 A. Definition

236 Tenure is the right of full-time faculty personnel who hold academic rank to continuous full-time
237 employment without reduction in academic rank until retirement or termination.
238

239 B. Administrators

240 Administrative personnel who have acquired tenure are subject to the regulations herein on
241 tenure and the provisions governing termination only in their capacities as faculty members.
242

243 C. Tenure Recommendations

244 Recommendations concerning the award or denial of tenure shall originate in the faculty of the
245 academic unit in which tenure is to be granted.
246

247 D. Establishment of Tenure Date

248 For probationary appointments, the date of mandatory tenure and the number of years of
249 previous full-time service to be counted toward acquisition of tenure shall be stipulated by the
250 Provost and agreed to in writing by the nominee before the appointment is made by the Board of
251 Trustees.
252
253

254 **Article 2.0 Faculty Performance: Standards and Definitions**

255
256 The standards articulated in this section are fundamental to all faculty personnel decisions and
257 particularly to decisions involving promotion and tenure, which are the basis of the most comprehensive
258 evaluation of faculty performance.
259

260 **Sec 2.1 Teaching**

261
262 Teaching is the guiding of University of Louisville students in the acquisition of knowledge, attitudes,
263 skills, and dispositions. Teaching is broadly understood to include all the activities in which a faculty
264 member is engaged in efforts to instill knowledge, improve skills, or foster attitudes and dispositions in
265 students. Therefore, multiple criteria to be used to evaluate teaching include, not only classroom
266 instruction, but also field supervision and visitations, the various forms of individualized instruction,
267 student advising and counseling, as well as developing and refining courses, programs, and curricula. It
268 also includes the directing of master's theses, specialist professional papers, doctoral dissertations, and
269 mentoring of students in interdisciplinary programs. Faculty are expected to work collaboratively with
270 students, colleagues, practitioners, and other persons within and outside the university in their teaching
271 activities.
272

273 **Sec 2.2 Service**

274
275 Faculty engage in service activities when they make their academic or professional expertise available to
276 others in the university, the profession, the local community, or beyond the local community. Service is
277 the application of knowledge in one's particular discipline or field of study; service is the application of
278 general academic expertise that results from experience as a university educator, as when one
279 participates in faculty governance within the university or when service activities outside of the university
280 are linked to one's general academic expertise; service may also include the development of knowledge,
281 insight, or new intellectual understanding that results from applying one's particular academic expertise in
282 service activities. Faculty are expected to work collaboratively with students, colleagues, practitioners,
283 and other persons within and outside the university in their service activities.
284

285 **Sec 2.3 Research or Creative Activity**

286
287 Research or Creative Activity may include empirical, theoretical, or applied research. Basic research

288 requires no other justification than the intrinsic good of knowing and understanding. Research may also
289 establish connections across the disciplines (multidisciplinary), reveal to specialists and nonspecialists
290 alike the larger context of knowledge, and interpret the original research in one's discipline or field.
291 Research and creative activity also undergirds effective teaching and facilitates communication of the
292 knowledge of one's discipline or field to students. Faculty are expected to work collaboratively with
293 students, colleagues, practitioners, and other persons within and outside the university in their research
294 or creative activities.

295 **Sec 2.4 Overall Expectations**

296
297
298 Unless otherwise specified in this document, all personnel reviews will be defined by proficient
299 performance in the three standards articulated in *The Redbook* as well as above. All faculty will be
300 expected to perform at a proficient level with respect to each of these three standards and, in promotion
301 and tenure decisions (also see criteria in 3.0).

302 303 **Article 3.0 Faculty Personnel Reviews**

304 **Section 3.1 Reviews of Faculty**

305
306
307 In addition to initial reviews at the time of appointment, all College of Education & Human Development
308 faculty are reviewed for various purposes and at various times during their careers. Career reviews of
309 tenurable faculty include annual review, pre-tenure review, review for tenure and promotion to Associate
310 Professor (which normally occur concurrently), review for promotion to Professor, and periodic career
311 review. Career reviews of faculty with nontenurable appointments include annual review, and reviews for
312 promotion as provided in Sections 3.2 and 3.4.

313 314 A. Appointment Reviews (see also criteria in 1.1)

- 315
316 1. The department chairperson, after consultation with the department faculty, recommends to
317 the dean the person to be appointed as well as title and rank.
- 318
319 2. The dean submits the recommendation to the College Personnel Committee for its advice.
- 320
321 3. The dean makes a recommendation to the Provost informing the department chairperson and
322 the College Personnel Committee of its contents.

323 324 **Sec. 3.2 Annual Reviews**

325
326 Annual reviews of all faculty in the College of Education & Human Development are to be completed.

327 328 A. Criteria for Annual Review

- 329
330 1. Definition of Eligibility for Annual Review
331 Each Department Chairperson will, in collaboration with the faculty of that department and with
332 the approval of the Dean, develop the performance objectives and criteria upon which the Annual
333 Review salary increases will be determined and these performance objectives and criteria shall
334 be reflected in the work plan as required in the Redbook. Performance objectives and criteria in
335 each Department shall be based upon the department's mission statement and objectives, the
336 College of Education and Human Development's mission statement and objectives, and the
337 standards of faculty performance in sections 2.0, 3.3 and 3.4 of the College of Education and
338 Human Development's "Personnel Policies and Procedures." These standards refer both to
339 specific forms of products that can be included as well as provide parameters for consideration of
340 the quality of the work which shall be a core element of reviews.

341
342
343 Evaluations should be weighed according to the percent work effort in each area of the work plan.
344 Faculty who anticipate assignments that are so different from College norms that they require
345 different criteria should propose in writing such criteria as a part of their Annual Work Plan. When

346 this occurs the Plan must be reviewed by the Department and College Personnel Committee to
347 check for alignment and adherence to University-wide minimum guidelines and unit specific
348 criteria and approved by the Chairperson and Dean during the Annual Review process. It is the
349 responsibility of the faculty member to provide evidence of the quality and impact of his or her
350 teaching, research, creative activity, and service. The Annual Work Plan will be included in the
351 materials submitted for the review.
352

353 2. Purpose

- 354
- 355 a. The primary purpose for establishing a set of Annual Review salary increase procedures is to
356 formalize and actively encourage faculty development and productivity in teaching, service,
357 and research and creativity.
358
 - 359 b. A secondary purpose is to recognize and reward those who meet and exceed Department
360 and College expectations. A faculty member who demonstrates optimal performance on the
361 work assignment should be eligible for the maximum salary increase specified by the unit's
362 merit policies such that if a faculty member's work assignment is heavily weighted toward
363 teaching or service and optimal performance is demonstrated in those areas, he or she
364 should be eligible for the maximum salary increase.
365

366 B. Procedures

- 367
- 368 1. Chairpersons will meet annually with each full-time faculty member to conduct an Annual Review
369 that is based on the allocation of effort reflected in the work plan and criteria in sections 2.0, 3.3,
370 and 3.4 of the College of Education and Human Development's "Personnel Policies and
371 Procedures" document as called for above. A faculty member is defined as anyone holding a full-
372 time, probationary or tenured appointment in a department. Those individuals who are on term
373 appointments are evaluated annually to determine the quality of their performance in assigned
374 areas. Faculty performance will be evaluated as either not satisfactory, needs improvement,
375 satisfactory, or the appropriate category of meritorious as described below. Part-time instructors
376 whose principal employment is in another unit or is outside the university will not be subject to this
377 review. All other part-time faculty will be reviewed in the same manner as these appointments
378 but will not receive written feedback.
379
 - 380 2. Each full-time faculty member will prepare and submit to his or her Chair a written Annual Review
381 narrative no later than January 15. Faculty who fail to turn in annual reviews by the deadline
382 without prior written approval from their chair, the dean, or without extenuating circumstances
383 may not be eligible for a salary increase.
384
 - 385 a. The Annual Review will include evidence of accomplishments of the preceding calendar year
386 in the areas of Teaching, Service, and Research and Creative Activity. Chairpersons will
387 base their reviews upon the materials and self-assessment provided by the faculty member
388 and other documentation placed formally in the faculty member's file consistent with the
389 Preamble and College personnel committee process and will judge faculty accomplishments
390 by the specific allocation of effort agreed to as part of the prior year's Annual Work Plan,
391 including both the attainment of the products and quality of the products as called for in that
392 work plan as well as the execution and quality of role assignments that appear in the work
393 plan (See Article 4.0). It is the responsibility of the faculty member to provide evidence of the
394 quality and impact of his or her teaching, research, creative activity, and service. The Annual
395 Work Plan will be included in the materials submitted for the review.
396

397 The Annual Review meetings between faculty members and Chairs will commence by
398 January 15 and be completed by March 1.
399

- 400 b. Each faculty member and his or her Chairperson will discuss the Annual Review
401 materials and will examine evidence related to the specific performance indicators agreed
402 upon as part of the prior year's Annual Work Plan.
403

404 The Chairperson will prepare a written recommendation to be forwarded to the Dean. The
405 recommendation shall state whether, in the Chairperson's judgment, the faculty member's
406 performance has been: not satisfactory, needs improvement, satisfactory, meritorious, or
407 highly meritorious and the recommendation shall be specific regarding weaknesses and
408 deficiencies (if any), as well as suggestions (if any) for improvement and possible
409 adjustments in work load. The faculty member being reviewed shall receive a copy of the
410 Chairperson's recommendation which shall include the reminder that "the performance
411 evaluation recommended is not final until they meet with the other Chairs, the Dean and
412 her/his designated senior staff to merge the Annual Reviews of all faculty into the
413 performance categories" as is called for in part 3.2.B.2.d below.

414
415 Written recommendations shall be placed in the faculty member's College mailbox. The
416 Chairperson shall also notify the faculty electronically of the availability of the written
417 recommendation in their mailbox at the College of Education and Human Development. The
418 Chairperson should also offer to send the annual review electronically to the faculty.
419

420 If the faculty member disagrees with the Chairperson's written recommendation and wishes
421 to appeal, the faculty member may request a meeting with the Chairperson to discuss the
422 recommendation letter in a meeting to be scheduled within ten days after receiving the
423 Chair's recommendation. If the disagreement remains unresolved following this meeting, or if
424 the faculty member does not desire a meeting with the Chairperson, the faculty member has
425 the right to insert into the record a written rebuttal of the Chairperson's recommendation
426 before it is presented to the Dean. The faculty member must submit any written rebuttal not
427 more than 10 days after the Chair's recommendation is available in the faculty member's
428 college mailbox or 5 days after the meeting with the Chair if the faculty member requested
429 such a meeting. The rebuttal must set forth the reason for the appeal but may not include
430 additional evidence. Corrections of errors of fact may be included. Any appeal will go forward
431 on the basis of the written Annual Review record as originally presented.
432

- 433 c. All recommendations for Annual Review salary increases and written rebuttals will be
434 forwarded to the Dean by March 15 of each year.
435
- 436 d. After all Annual Reviews are finalized, Chairpersons will group all faculty within their
437 Department in categories (not satisfactory, needs improvement, satisfactory, meritorious, and
438 highly meritorious). Then they will meet with the other Chairs, the Dean and her/his
439 designated senior staff to merge the Annual Reviews of all faculty into the categories. The
440 groupings will be college-wide in order to strive for fairness in judgment across the unit.
441
- 442 e. Once the Chairs and Dean pursuant to Section "d" above have completed the grouping
443 recommendations for all faculty, the Dean shall assign a final faculty rating. The Dean will
444 also independently place the Chairs, Associate and Assistant Deans in the appropriate
445 groups thereby completing the full college annual salary recommendations.
446
- 447 f. The Dean will discuss the faculty recommendations with the appropriate Chairperson. The
448 Dean will then notify the faculty member and the Chairperson of his or her final
449 recommendation no later than June 1.
450
- 451 g. The Dean's written recommendation shall be placed in the faculty member's College mailbox
452 and an email shall also be sent to the faculty member notifying them of the availability of the
453 written recommendation in their mailbox at the College of Education and Human
454 Development.
455

456 C. Appeals Process

- 457
- 458 1. If the faculty member disagrees with the Dean's recommendation and wishes to appeal, the
459 faculty member must first discuss the area(s) of disagreement with the Dean in a meeting
460 scheduled within ten days after receiving the Dean's recommendation. The faculty member must
461 also submit a written rebuttal to the Dean not more than 10 days after being notified of the

462 availability of the Dean's recommendation in the faculty member's college mailbox. If the
463 disagreement is not resolved during that meeting, the faculty member may present a written
464 appeal to the College Personnel Committee within 10 days of the meeting with the Dean. The
465 rebuttal must set forth the reason for the appeal but may not include additional evidence. Any
466 appeal will go forward on the basis of the written Annual Review record as originally presented.

467
468 Following a review of appropriate materials by the College Personnel Committee, the Committee
469 will make independent written recommendations to the Dean of support or nonsupport for each
470 appeal. Once the Dean with regard to all appeals makes a final decision, he or she will meet with
471 the College Personnel Committee to discuss any decisions that differ from the Personnel
472 Committee's recommendations.

473
474 At the conclusion of the appeals process, faculty members who have a successful appeal will
475 have their ranking recalibrated thereby finalizing the full college Annual Review faculty salary
476 rankings.

477
478 D. Chairpersons and Associate/Assistant Deans

- 479
480 1. The Dean will serve as the Chairperson's or Associate and/or Assistant Dean's supervisor in the
481 evaluation of the Annual Review. The Dean will seek the advice of Department faculty and
482 relevant others as appropriate.
483
484 2. The Annual Review of Chairpersons, Associate and Assistant Deans will be conducted by the
485 Dean and will commence on February 1 of each year.
486
487 3. The Chairperson's, Associate, or Assistant Dean's Annual Review will recognize administrative
488 as well as usual faculty responsibilities.
489
490 4. The Chairperson, Associate or Assistant Dean and the Dean will review each individual's Annual
491 Work Plan and examine the indicators of success.
492
493 5. The Dean will inform the Chairperson, Associate, or Assistant Dean by letter whether, in the
494 Dean's judgment, the Chairperson's or Associate/Assistant Dean's performance has been not
495 satisfactory, needs improvement, satisfactory, meritorious or highly meritorious with regard to the
496 criteria in Article 2.0, above, and with regard to the Chairperson's, Associate or Assistant Dean's
497 administrative responsibilities. The recommendation shall be specific regarding weaknesses and
498 deficiencies (if any), as well as suggestions (if any) for improvement and possible adjustments in
499 workload.
500
501 6. One copy of the Annual Review narrative will be retained by the Chairperson, Associate, or
502 Assistant Dean and one copy will be placed in the Dean's Office personnel files.
503
504 7. If the Chairperson, Associate or Assistant Dean disagrees with the Dean's written
505 recommendation and wishes to appeal, the Chairperson, Associate or Assistant Dean must first
506 discuss the area(s) of disagreement with the Dean in a meeting scheduled within five working
507 days after receiving the Dean's recommendation. If the disagreement is not resolved during that
508 meeting, the Chairperson, Associate, or Assistant Dean may present a written appeal to the
509 College Personnel Committee within 10 working days of the meeting with the Dean. The rebuttal
510 must set forth the reason for the appeal but may not include additional evidence. Any appeal will
511 go forward on the basis of the written Annual Review record as originally presented. Once the
512 Dean with regard to all appeals makes a final decision, he or she will meet with the College
513 Personnel Committee to discuss any decisions that differ from the Personnel Committee's
514 recommendations.

515
516 At the conclusion of the appeals process, Chairpersons, Associate or Assistant Deans who have
517 a successful appeal will have their ranking recalibrated thereby finalizing the full college Annual
518 Review salary rankings.
519

520 E. The final calculation of the salary increases will be based on the total pool of monies received for
521 the year from the central administration and the total number of Annual Review points accrued by
522 each faculty member, Chairperson or Associate/Assistant Dean.
523

- 524 1. Administrative officers and appropriate faculty bodies shall protect faculty members from
525 inequities in salary.
526

527 Those faculty members who are rated not satisfactory will receive a zero salary increase for that
528 year.
529

530 The total annual merit raise pool will then be distributed to all faculty who are rated "needs
531 improvement", "satisfactory", "meritorious", or "highly meritorious" as a percent of their current
532 salary through the process described below. The total annual merit raise pool shall be distributed
533 as follows: (a) When the merit pool is less than or equal to 3% or to the federal cost of living
534 adjustment, whichever is greater, 70% of the pool would be distributed to all of those receiving a
535 rating of "needs improvement" or higher and 20% would be used as meritorious pool. The
536 distribution of the 70% to go to all faculty receiving raises would be as a percentage of their base
537 salary (i.e., if there is a 3% raise pool and all faculty are receiving a raise, each faculty member
538 receiving a satisfactory rating would receive $.7 \times 3\%$ or a raise of 2.1%). Faculty receiving the
539 rating of "needs improvement" shall receive .50 (50%) of the percentage of the raise provided to
540 those receiving ratings of "satisfactory."
541

542 Those rated as meritorious or highly meritorious shall also receive one or two annual review
543 points, respectively. For Assistant Professors the final number of annual review points earned
544 (i.e., 1 point for a rating of meritorious or 2 points for a rating of highly meritorious) shall be
545 multiplied by 1.0 to gain a weighted total of Annual Review points to be awarded. For Associate
546 Professors, the total number of annual review points earned shall be multiplied by 1.2 to gain a
547 weighted total of Annual Review points to be awarded. For Full Professors, the total number of
548 annual review points earned will be multiplied by 1.5 to gain a weighted total of Annual Review
549 points to be awarded to the individual. The 20% of the raise pool to be used for compensating
550 annual review points, as noted above, would then be divided by the total number of weighted
551 Annual Review points awarded to arrive at the value of each annual review point. The remaining
552 10% would then be used by the Dean to provide for additional merit adjustments based on annual
553 and longer-term performance reviews (see, for example, 3.a below).
554

555 In the event that the merit pool exceeds 3% or the amount of the federal cost of living adjustment,
556 whichever is greater (base level), that amount that exceeds the base level shall be distributed in
557 keeping with the above patterns and conditions but with ratios now of 60%, 30%, and 10%.
558 Faculty receiving the rating of "needs improvement" shall still receive .50 (50%) of the percentage
559 of the raise provided to those receiving ratings of "satisfactory."
560

- 561 2. Appeals will be finalized and recalibrated in the total rankings. Then, the remaining highly
562 meritorious salary pool will be divided by the total number of meritorious points (the sum of all
563 weighted points awarded) to determine the monetary value of one point for that year. Finally,
564 the monetary point value will be multiplied by a given faculty members, Chairperson's, or
565 Associate/Assistant Dean's total Annual Review points to calculate that individual's final
566 Annual Review salary increase.
567

- 568 3. The Dean will inform each faculty member, Chairperson, Associate and Assistant Dean by
569 letter of final Annual Review salary increase decisions.
570

571 a. The Dean's letter will include the total number of Annual Review points, the amount of any
572 salary increase and/or one-time salary adjustment for performance. Because of timing
573 issues, the Dean may send two letters, the first letter indicating the award of Annual Review
574 points and the second letter once all appeals have been resolved and monies have been
575 calculated, thus finalizing the amount of salary increase.
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577 b. The Dean's letter will include the reasons for the Dean's decision.

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- c. If the performance of a faculty member, Chairperson, Associate or Assistant Dean is rated not satisfactory, the Dean's letter will include the reasons for the rating and specific suggestions for improving performance. The Provost must approve Annual Review salary decisions involving not satisfactory performance ratings as these are ratings where the faculty member is to receive no increase.
 - d. At the completion of the Annual Review process, a file shall be updated in the Department for each faculty member and in the Dean's Office for each Chairperson, Associate and Assistant Dean. The file shall contain the following items:
 - The Chairperson's recommendation regarding Annual Review salary increases include evaluations of not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious);
 - The Dean's recommendation regarding Annual Review points and Annual Review salary increases;
 - A copy of the Annual Review narrative.
 - e. The annual file described above (in 3.2.E.2.d), shall become part of the record to be used in subsequent reviews of faculty members and Department Chairpersons, Associate, and Assistant Deans.
4. By July 1 of each year, the Dean will provide an annual written report to the faculty and the Provost. The report will contain:
- The number of not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious performance ratings;
 - A summary of the process used to arrive at such salary increases, including the results of any appeals reviewed by the Dean and the Personnel Committee;
 - A short review of the impact of activities, the levels of quality and the indicators of effectiveness deemed by Chairpersons and the Dean to warrant meritorious and highly meritorious consideration;
 - A frequency distribution of the percentage salary increases received by all faculty members.

613 **Sec. 3.3 Tenure**

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- A. Time Required
The College follows the policies and procedures stated in *The Redbook* (See 4.2.2): "All probationary faculty who have had seven years of service counted as in a tenurable faculty position, if reemployed full-time, shall be granted tenure."
 - B. Leaves of Absence
The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 B): "One year spent on an officially approved leave of absence may be counted toward the seven years of full-time service necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure."
 - C. Extension of Probationary Period
The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 C.): "A faculty member who faces extenuating circumstances that do not require a leave of absence but result in a significant reduction in ability to perform normal duties may request an extension of the probationary period for no less than six months and no more than one year. Such extensions must be requested and approved before the end of the fifth year of the probationary period and must have documentation satisfactory to the Provost."

- 634 D. Prior Service
635 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 D.): “Previous
636 full-time service with the rank of Instructor or higher or comparable status in institutions of higher
637 learning may be counted toward the acquisition of tenure.”
638
- 639 E. Early Tenure
640 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 E.): “1.
641 Notwithstanding anything in *The Redbook* to the contrary, tenure may be granted at the time of
642 initial appointment or in less than seven years when such action is warranted. 2. A faculty
643 member may request only one evaluation for early tenure. 3. Evaluation for early tenure, once
644 originated, shall proceed as indicated in Section 4.2.2.H. unless the faculty member under review
645 requests its withdrawal.”
646
- 647 F. Evidence to be Submitted for Tenure or other forms of Promotion
648
- 649 1. General Statement of Criteria for Tenure
650 The award of tenure is the appointment of a faculty member with the right to continuous full-
651 time appointment without reduction in academic rank until retirement. Therefore, the tenure
652 decision is the most important of all personnel decisions and will be made with particular
653 care. A candidate for tenure bears primary responsibility for collecting, organizing, and
654 presenting evidence to support the petition for advancement. Annual Work Plans and Annual
655 Reviews will be included in the materials submitted for the review. Evaluation of the
656 candidate’s materials will be guided by the work specified in the candidate’s Annual Work
657 Plans.
658
- 659 a. Candidates should work closely with department chairpersons to address the following
660 criteria for the award of tenure:
661
- 662 • Rank at Appointment: Only faculty members of the rank of Assistant Professor,
663 Associate Professor, or Professor are eligible to receive tenure.
 - 664 • Time Required: Normally, tenure will be awarded only after seven years of service.
 - 665 • Tenure may be awarded before seven years of service if merited.
- 666
- 667 b. Criteria for tenure are:
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- 669 • Teaching
 - 670 • Service to the profession, the department, the College, the University, or the
671 community
 - 672 • Research or creative activity
- 673
- 674 c. Performance Standards for tenure are:
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- 676 • Evidence of proficient performance in each of the above three areas;
 - 677 • Evidence indicating the promise of continuing proficient performance on all of the
678 criteria above.
- 679
- 680 2. Faculty Performance: Standards, Definitions, and Evidence
681
- 682 The standards articulated in this section are fundamental to all faculty personnel decisions,
683 including career reviews, and, particularly, to decisions involving promotion and/or tenure,
684 which are the result of the most comprehensive evaluation of faculty performance. A
685 candidate for promotion and/or tenure in the College of Education & Human Development
686 bears primary responsibility for collecting, organizing, and presenting evidence to support the
687 candidate's petition for advancement. Candidates should work closely with department
688 chairpersons or their designee to address the following standards and requirements of
689 evidence in the preparation of triptychs.
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- 691 a. Teaching

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(1) Teaching is the guiding of students in the acquisition of knowledge, attitudes, skills, and dispositions. Teaching is broadly understood to include all the activities in which a faculty member is engaged in efforts to instill knowledge, improve skills, or foster attitudes and dispositions in students. Therefore, multiple criteria to be used to evaluate teaching., which includes not only classroom instruction, but also field supervision and visitations, the various forms of individualized instruction, student advising and counseling, as well as developing and refining courses, programs, and curricula. It also includes the directing of master's theses, specialist professional papers, doctoral dissertations, and mentoring of students in interdisciplinary programs. In evaluating teaching effectiveness, assessment should take into account desired learning outcomes. Proficiency is based on what is typically expected at our benchmark institutions and is further defined by the Colleges and University's mission statements.

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(2) Evidence of Teaching Effectiveness

The evaluation of teaching effectiveness should not be based on any one evaluation technique but, instead, should be based on multiple criteria including, but not limited to, such data to be submitted by the candidate as:

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(a) Student Evaluations: All courses in the College of Education & Human Development are evaluated by students using the standard evaluation form approved by the faculty. Candidates should include a list, by semester, for courses taught in at least the three years preceding consideration. Candidates for promotion or tenure must submit for review the standard evaluation form summary for courses taught in at least the three years preceding consideration. Candidates should include a note of explanation for courses taught but for which no student evaluations are included.

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(b) Testimony of Former Students: Former students are in a position to assess the value and effectiveness of instruction from a stand-point that allows more mature reflection and appreciation of its relevance to their lives and careers. Therefore, letters from former students add an important dimension to the evaluation of teaching effectiveness.

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(c) Testimony of Colleagues: The effectiveness of teaching can be competently assessed by colleagues who have had the opportunity to observe the classroom performance of a candidate or to observe the candidate engaged in the many additional sorts of teaching that occur outside the classroom. Therefore, letters solicited from such colleagues provide significant information regarding the evaluation of teaching effectiveness. If a candidate has no disciplinary peers at the university, peer review should be solicited from outside the university.

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(d) Teaching Materials: Candidates should submit course syllabi and other teaching materials they have prepared to organize and communicate the knowledge in their field for the purposes of teaching. These materials should demonstrate the candidate's use of appropriate and effective pedagogies, which may include such things as cooperative learning, instructional technologies, recognition of individual differences, pedagogical papers, and so on.

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(e) Student Research Projects: Candidates may submit student research projects (articles, presentations, etc.) for which the candidate served as a mentor. If more than one faculty member served as a mentor, the candidate should clearly indicate their role in the mentoring process. Where appropriate, information relating to the publication rate and outlets of student

- 750 dissertations, theses, and other research efforts of students may also be
751 included and considered. In addition, successfully engaging students at all
752 levels in research, service projects, and related activities can be considered
753 as additional evidence of proficiency in teaching.
754
- 755 (f) Teaching Related Grants: Candidates may submit information about funding
756 obtained that supports the enhancement of instruction and program
757 development. The candidate should clearly indicate what role they played in
758 the submission and/or administration/delivery of the grant.
759
- 760 (g) Additional Evidence: Candidates may submit any additional evidence of
761 teaching effectiveness, such as analyses of student performance
762 assessments, licensing exam outcomes, board scores, nationally-normed
763 progress assessments, peer reviews, teaching portfolios, curriculum
764 development, participation in teaching circles, and mentoring (students, part-
765 time faculty, and junior faculty. Teaching load, large class size, and level
766 (e.g., bachelor's, master's, doctoral) may be a factor in the evaluation of
767 teaching effectiveness, but it may not be the primary factor.
768
- 769 (h) Self-assessment: Candidates must submit a written self-assessment of their
770 teaching.
771
- 772 (3) Judgments of proficiency of teaching performance will be based upon review of all
773 the evidence presented as well as other evidence provided for in this document.
774
- 775 b. Service
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- 777 (1) Faculty engage in service activities when they make their academic or professional
778 expertise available to others in the university, the profession, the local community,
779 or beyond the local community. Service is the application of knowledge in one's
780 particular discipline or field of study; service is the application of general academic
781 expertise that results from experience as a university educator, as when one
782 participates in faculty governance within the university or when service activities
783 outside the university are linked to one's general academic expertise. Service may
784 also include the development of knowledge, insight, or new intellectual
785 understanding that results from applying one's particular academic expertise in
786 service activities. Proficiency is based on what is typically expected at our
787 benchmark institutions and is further defined by the College's University's mission
788 statements. Because service contributions and impact are often difficult to
789 measure, units should encourage faculty to describe and document their
790 contributions in service for merit and promotion considerations.
791
- 792 (2) Evidence of Effectiveness in Service
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- 794 (a) Testimony of People or Organizations Benefiting from Service: Letters from
795 the beneficiaries of the candidate's service activities provide strong evidence
796 of effectiveness.
797
- 798 (b) Testimony of Colleagues: Letters should be solicited from colleagues, within
799 the University and/or the candidate's profession, who collaborated in service
800 projects or who were otherwise in a position to judge the effectiveness of a
801 candidate's service activities. Examples of such colleagues are committee
802 chairs, project directors, and other significant participants. Such testimony
803 should assess the extent of the candidate's participation and the leadership
804 exhibited in service activities.
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- 806 (c) Additional Evidence: Candidates may submit any additional evidence that
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808 speaks to the effectiveness of their service activities (e.g., any products
809 resulting from service activities along with evidence regarding the nature of
810 the candidate's contribution, or awards or other kinds of recognition related to
811 effectiveness). Candidates should submit any written materials relating to
812 service that provide evidence of its scholarly basis.

813
814 (d) Service Related Grants: Candidates may submit information about funding
815 that has been received to support scholarly service. The candidate should
816 clearly indicate what role they played in the submission and/or administration
817 of the grant.

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819 (e) Self-assessment: Candidates must submit a written self-assessment of the
820 effectiveness of their service activities.

821
822 (f) Judgments of proficiency of service will be based upon review of all the
823 evidence presented as well as other evidence as provided for in this
824 document.

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826 c. Research or Creative Activity

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828 (1) Research or Creative Activity may include empirical, theoretical, or applied research.
829 Basic research requires no other justification than the intrinsic good of knowing and
830 understanding. There are multiple ways in which research and scholarship are part
831 of the university's commitment to community engagement. A scholarly agenda may
832 incorporate community-based participatory research, practice-based research,
833 engaged scholarship, and scholarship of engagement. Engaged research is scholarly
834 work done in full partnership with the community. It consists of research and
835 application of scholarship for mutual benefits for the institution, community partner,
836 and larger communities (local, regional/state, national, global). Research may also
837 establish connections across the disciplines (multidisciplinary), reveal to specialists
838 and nonspecialists alike the larger context of knowledge, and interpret the original
839 research in one's discipline or field. Research and creative activity also undergirds
840 effective teaching and facilitates communication of the knowledge of one's discipline
841 or field to students. Proficiency is based on what is typically expected at our
842 benchmark institutions and is further defined by the University's mission statement to
843 be a premier metropolitan research university. In order to be evaluated as proficient
844 in research or creative activity, faculty must have developed one or more lines of
845 coherent and focused scholarship consistent with the mission of the College and
846 University and appropriate for their rank and stage of career. It is expected, for
847 example, that the research or creative activity will have an impact on the faculty
848 member's field of study that is recognized at a national or international level that is
849 also consistent with their rank and state of career (e.g., those seeking promotion to
850 full professor shall be expected to have a higher level of national and/or international
851 recognition and impact than would be expected at the associate professor level).
852 Although quantity of scholarly products alone is not a sole or sufficient criteria, faculty
853 must demonstrate a consistent level of effort that includes publication of their work in
854 outlets consistent with the mission and goals of the university and where at least a
855 portion of that work has been submitted for peer review, with a demonstrated record
856 of favorable review. It is also expected that for those faculty whose scholarship is in
857 areas where funding is appropriate that they will demonstrate a consistent record of
858 seeking and obtaining such extramural funding to support their scholarship and
859 related professional work. Finally, the demonstration of proficiency as a mentor to
860 students in their development as scholars and researchers (e.g., through students'
861 successful publication of work carried out under the candidate's supervision),
862 although not required for tenure and/promotion can provide additional evidence of
863 proficiency of the candidate in research and creative activity.

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865 (2) Evidence of Research or Creative Activity

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- (a) Publications: Candidates should submit for review books or monographs published on merit and not totally subsidized by the author, articles published in professional journals of quality that utilize editorial review boards, and any other published works that have resulted from the candidate's scholarship and that provide evidence of quality.
- (b) Other Forms of Evidence: Candidates should submit any of the following:
- A complete list of unpublished papers, posters, and workshop materials presented at meetings of national associations that employ a review process and a complete list of grant proposals, especially if funded, that employ a review process;
 - Funded grant proposals that represent the results of research and creativity; the candidate should clearly indicate what role they played in the submission and/or administration of the grant. For multidisciplinary grants the designation of Co-Principal Investigator should carry the same weight as Principal Investigator.
 - Products such as instructional aides, videos, research instruments, or computer software that have resulted from research and creativity;
 - Materials and other evidence attesting to public speeches, television presentations, participation in forums, and other activities involving scholarship.
 - Products related to entrepreneurial efforts including but not limited to university approved licenses, patents, industry partnerships, and university affiliated consulting/training programs.
- (c) External Peer Evaluations: External evaluation of research is required for tenure of probationary faculty. Additionally, external evaluation of research is required for promotion of probationary and tenured faculty. The quality of publications and other forms of scholarly dissemination is judged best by colleagues in the candidate's field or discipline. Reviews solicited from disciplinary peers are an important part of the evaluation of research and creativity.

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Similarly, external evaluation of teaching is required for promotion of clinical faculty and external evaluation of research is required for promotion of research faculty.

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The Department Personnel Committee will oversee the solicitation of external evaluations of the candidate's scholarship or teaching as required above. The Department Personnel Committee will, in consultation with the Dean and Chair, begin the process of selecting evaluators and soliciting evaluations in a timely manner. For promotion and tenure of probationary, and promotion of tenured faculty, ordinarily, evaluators will be at or above the rank to which the candidate seeks promotion. Evaluators should be recognized experts in the field, and be from programs and/or institutions similar to the University of Louisville. Evaluators are individuals who are likely to provide a fair and unbiased assessment of the candidate.

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Procedures for Probationary and Tenured Faculty: The candidate will submit five names, along with addresses and emails, of people qualified to evaluate the candidate's materials. The Department Personnel Committee, in consultation with the Dean, will submit five names, along with addresses and emails, with input from departmental faculty and the chairperson. If the candidate fails to submit a list, the evaluators will be chosen from the Department Personnel Committee's list. The Departmental Personnel Committee shall provide a short synopsis of the significant accomplishments

924 and/or other basis for the selection of each external reviewer that
925 demonstrates why the reviewer is prominent in the reviewer's field and why
926 the evaluation would be appropriate given the mission and goals of the
927 College and the University of Louisville. The candidate has the right to
928 challenge any evaluator on the combined list of names with cause and must
929 provide in writing the nature of any prior association or relationship with any
930 evaluator on the list. From this mutually agreeable list, the Department
931 Personnel Committee will select four to six external evaluators, at least half
932 of whom must be from the candidate's list, if she/he submits a list.

933
934 Procedures for Clinical and Research Faculty: The candidate will present a
935 list of five individuals outside their Academic Department who can evaluate
936 the teaching and/or research contributions of the candidate. For clinical
937 faculty, these individuals may be principals, superintendents, mentor
938 teachers, or other local, state, national, or international educators familiar
939 with the candidate's work or with the type of clinical activity the candidate is
940 engaged in. For research faculty, these individuals should be recognized
941 experts in the field at or above the rank to which the candidate seeks
942 promotion, and be from programs and/or institutions similar to the University
943 of Louisville. The Department Personnel Committee will also develop a list of
944 five potential external reviewers. The candidate has the right to challenge
945 any evaluator on the combined list of names with cause and must provide in
946 writing the nature of any prior association or relationship with any evaluator
947 on the list. If the candidate fails to submit a list, the evaluators will be chosen
948 from the Department Personnel Committee's list. The Department Personnel
949 Committee will select four to six individuals from the pool of potential
950 reviewers (at least half of which must be from the candidate's list) to provide
951 an evaluation of the candidate's contribution.

952
953 Once external evaluators are identified, the department chair will solicit
954 external reviews in writing. This letter should include a description of
955 appropriate criteria for evaluation from the College of Education and Human
956 Development Personnel Policies and Procedures. The letter should also
957 request a description of the reviewer's relationship to the candidate, request
958 a detailed evaluation of the candidate's work based on materials provided,
959 ask whether the evaluation may or may not be read by the candidate, and
960 request a copy of the reviewer's vita. Each reviewer will be provided with the
961 candidate's vita and pertinent scholarly materials, including but not limited to
962 publications. The candidate will determine what materials will be provided to
963 external reviewers, although the Personnel Committee or Chairperson may
964 provide advice about the selection of materials. External evaluators will be
965 given a reasonable time period in which to complete evaluations and should
966 they be unable to do so will be replaced by another evaluator from the
967 mutually agreeable list of potential external evaluators. Where less than four
968 external reviews are received within a reasonable amount of time the chair
969 shall make reasonable efforts, in collaboration with the candidate and
970 personnel committee, to obtain at least four reviews with at least half coming
971 from reviewers recommended by the candidate.

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973 The faculty member has the right to rebut comments made by the external
974 reviewers. Responses are to be made in writing and added to the triptych
975 before being sent for further review by the department chair or department
976 personnel committee. The candidate will be notified when the external
977 reviews are received and will have ten days in which to supply a rebuttal.
978 Modifications to the time frame can be considered if the candidate is out of
979 town when the reviews arrive. Request for modification are to be made to
980 the dean.
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- 982 (d) Additional Evidence of Research: Candidates may submit any additional
983 evidence that speaks to the quality of their research and creativity, such as
984 citations, reviews, or other evaluative commentary regarding their work.
985
986 (e) Self-assessment: Candidates must submit a written self-assessment of the
987 quality of their contributions.
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989 (f) Judgments of proficiency of the candidates' contributions will be based upon
990 review of all the evidence presented.
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993 G. Pre-Tenure Review
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995 1. Purpose
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997 At the mid-point of their probationary period at the University of Louisville, probationary
998 faculty are reviewed within the College to inform them of the College's assessment of their
999 progress toward meeting the standards for the award of tenure. Recommendations will be
1000 made to assist the faculty member in preparing for tenure and promotion.
1001

1002 2. Procedure
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- 1004 a. Each year, the College Personnel Committee informs department chairpersons of faculty
1005 who are scheduled for pre-tenure review. The probationary faculty member bears primary
1006 responsibility for collecting, organizing, and presenting evidence relevant to the faculty
1007 member's performance in the standard areas in 2.0, above. The faculty member should
1008 work closely with the department chairperson to address the criteria for the award of
1009 tenure listed above in 3.3.F.2. A portfolio resembling a triptych should be prepared,
1010 although it need not be as extensive as the triptych required for promotion or tenure.
1011 Annual Work Plans and Annual Reviews will be included in the materials submitted for
1012 the review. Evaluation of the candidate's materials will be guided by the work specified in
1013 the candidate's Annual Work Plans.
1014
1015 b. The department chairperson prepares a written assessment of the probationary faculty
1016 member's progress toward meeting tenure standards and forwards the assessment to the
1017 College Personnel Committee (copy to the faculty member).
1018
1019 c. Independently of the chairperson's review, the Department Personnel Committee
1020 prepares a written assessment of the probationary faculty member's progress toward
1021 meeting tenure standards and forwards the assessment to the College Personnel
1022 Committee (copy to the faculty member).
1023
1024 d. The College Personnel Committee prepares a written assessment of the probationary
1025 faculty member's progress toward meeting tenure standards and sends the assessment
1026 to the dean (copy to the faculty member and the faculty member's department
1027 chairperson).
1028
1029 e. The review shall not be final until it is approved by the dean.
1030
1031 f. The pre-tenure review file shall remain intact for inclusion in the tenure review file. This
1032 report will be submitted as part of the evidence for the tenure review.
1033

1034 H. Evaluation for Tenure
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- 1036 1. Each year, department chairpersons recommend to the dean those faculty members who
1037 must be reviewed for tenure. Faculty members who are to be reviewed bear primary
1038 responsibility for collecting, organizing, and presenting evidence to support the
1039 recommendation; they should work closely with their department chairperson to address the

- 1040 standards in 2.0, above, and the criteria delineated in 3.3.F.2. Annual Work Plans and
1041 Annual Reviews will be included in the materials submitted for the review. Evaluation of the
1042 candidate's materials will be guided by the work specified in the candidate's Annual Work
1043 Plans.
1044
- 1045 2. The department chairperson prepares a written assessment of the faculty member's
1046 performance and forwards the assessment to the dean via the College Personnel Committee
1047 (copy to the faculty member).
1048
- 1049 3. Independently of the chairperson's review, the department personnel committee prepares a
1050 written assessment of the faculty member's performance and forwards the assessment to the
1051 dean via the College Personnel Committee (copy to the faculty member and the faculty
1052 member's department chairperson).
1053
- 1054 4. The College Personnel Committee prepares a written assessment of the faculty member's
1055 performance and forwards the assessment to the dean (copy to the faculty member and the
1056 faculty member's department chairperson).
1057
- 1058 5. After considering the recommendations and assessments of the department chairperson, the
1059 department personnel committee, and the College Personnel Committee, the dean makes a
1060 recommendation to the Provost regarding promotion and/or tenure, informing the faculty
1061 member, the department chairperson, and the College Personnel Committee of the nature of
1062 the recommendation.
1063
- 1064 6. The faculty member may add newly available material evidence for reconsideration by the
1065 previous evaluators or rebuttals before the file is forwarded to the Provost (The College
1066 follows the policies and procedures stated in the Redbook (see 4.2.2.H.4 and specifics
1067 below). A file of all information and documents pertinent to the tenure evaluation shall be
1068 compiled with the cooperation of the faculty member. Recommendations and any other
1069 material added shall become part of the file. The faculty member may examine any
1070 substantive material in the tenure file but shall not be informed of the identity of evaluators.
1071 The faculty member may add newly available material evidence for reconsideration by the
1072 previous evaluators or rebuttals before the file is forwarded to the Executive Vice President
1073 and University Provost. The evidence in this file shall be reviewed according to the
1074 procedures specified in the Minimum Guidelines and the unit personnel document.
1075
- 1076 7. Except in cases of early tenure, evaluations for tenure, once originated, shall proceed as
1077 indicated above unless the faculty member under review resigns from the university.
1078 Evaluations for early tenure shall proceed as indicated unless the faculty member requests
1079 withdrawal.
1080
- 1081 8. As called for in *The Redbook* in cases involving tenure, if the recommendation of the Provost,
1082 dean, or department chair is negative, the candidate may request a hearing before the
1083 University Faculty Grievance Committee. This request must be delivered on or before the
1084 tenth day following the action challenged.
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1086 **Sec. 3.4 Promotion in Rank**

1087 A. Criteria for Promotion

- 1088 1. Criteria for evaluation for promotion are:
1089
- 1090 • Teaching
 - 1091 • Research and creative activity
 - 1092 • Service to the profession, the unit, the University or the community
- 1093
- 1094 2. A candidate for promotion bears primary responsibility for collecting, organizing, and
1095 presenting evidence to support the petition for advancement. Annual Work Plans and Annual
1096 Reviews will be included in the materials submitted for the review. Evaluation of the
1097

1098 candidate's materials will be guided by the work specified in the candidate's Annual Work
1099 Plans. In the review process attention is paid both to productivity since date of last hire or
1100 promotion (whichever is more recent) and accomplishments over one's entire career. In all
1101 cases faculty members must supply dates for all listed activities and accomplishments,
1102 making it possible for reviewers to identify clearly those that took place since the date of hire
1103 or last promotion (whichever is more recent). Candidates should work closely with their
1104 department chairperson to address the following criteria for promotion in rank:

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1106 a. Promotion of Nontenurable Faculty

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1108 (1) Promotion of Clinical Faculty

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1110 (a). Promotion of Lecturer to Senior Lecturer and Promotion of Assistant Clinical
1111 Professor to Associate Clinical Professor.

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- 1113 • Normally, at least four years in rank as a Lecturer or Assistant Clinical
 - 1114 Professor, two of which must be at the University of Louisville;
 - 1115 • Evidence of proficient performance in teaching, research and creative
 - 1116 activity, or service as governed by the percentages established in the
 - 1117 candidate's annual work plans, and the description of responsibilities and
 - 1118 duties as outlined in the candidate's letters of appointment;
 - 1119 • In demonstrating proficient performance, candidates are encouraged to
 - 1120 provide evidence of substantial related leadership contributions to the
 - 1121 Department, College, University, and/or education community that have
 - 1122 positively and significantly impacted specific programs or initiatives;
 - 1123 • Evidence of continuing promise of proficient performance in teaching,
 - 1124 research or creative activity, or service as governed by the percentages
 - 1125 established in the candidate's annual work plans, and the description of
 - 1126 responsibilities and duties as outlined in the candidate's letters of
 - 1127 appointment;
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1129 (b). Promotion of Senior Lecturer to Distinguished Lecturer and Promotion of
1130 Associate Clinical Professor to Clinical Professor

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- 1132 • Normally, at least four years in rank as a Senior Lecturer or Associate
 - 1133 Clinical Professor, two of which must be at the University of Louisville;
 - 1134 • At least eight years of college or university experience at the rank of Lecturer
 - 1135 or Assistant Clinical Professor or above since earning a terminal degree or
 - 1136 other appropriate degree.
 - 1137 • Evidence of proficient performance in teaching, research and creative
 - 1138 activity, or service as governed by the percentages established in the
 - 1139 candidate's annual work plans, and the description of responsibilities and
 - 1140 duties as outlined in the candidate's letters of appointment;
 - 1141 • In demonstrating proficient performance, candidates are encouraged to
 - 1142 provide evidence of substantial related leadership contributions to the
 - 1143 Department, College, University, and/or education community that have
 - 1144 positively and significantly impacted specific programs or initiatives;
 - 1145 • Evidence of continuing promise of proficient performance in teaching,
 - 1146 research or creative activity, or service as governed by the percentages
 - 1147 established in the candidate's annual work plans, and the description of
 - 1148 responsibilities and duties as outlined in the candidate's letters of

1149 appointment;

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1152 (2) Promotion of Research Faculty

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1154 (a). Promotion of Assistant Research Professor to Associate Research Professor.

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1156 • Normally, at least four years in rank as Assistant Professor and/or Assistant

1157 Research Professor, two of which must be at the University of Louisville;

1158 • Evidence of proficient performance in teaching, research and creative

1159 activity, or service as governed by the percentages established in the

1160 candidate's annual work plans, and the description of responsibilities and

1161 duties as outlined in the candidate's letters of appointment;

1162 • In demonstrating proficient performance, candidates are encouraged to

1163 provide evidence of substantial related leadership contributions to the

1164 Department, College, and/or University, that have positively and significantly

1165 impacted specific programs or initiatives as well as substantial leadership

1166 contributions to the academic field of study;

1167 • Evidence of continuing promise of proficient performance in teaching,

1168 research or creative activity, or service as governed by the percentages

1169 established in the candidate's annual work plans, and the description of

1170 responsibilities and duties as outlined in the candidate's letters of

1171 appointment;

1172 (b). Promotion of Associate Research Professor to Research Professor

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1174 • Normally, at least four years in rank as an Associate Research Professor
1175 and/or Associate Professor, two of which must be at the University of
1176 Louisville;

1177 • At least eight years of college or university experience at the rank of
1178 Assistant Professor and/or Assistant Research Professor or above since
1179 earning a terminal degree or other appropriate degree.

1180 • Evidence of proficient performance in teaching, research and creative
1181 activity, or service as governed by the percentages established in the
1182 candidate's annual work plans, and the description of responsibilities and
1183 duties as outlined in the candidate's letters of appointment;

1184 • In demonstrating proficient performance, candidates are encouraged to
1185 provide evidence of substantial related leadership contributions to the
1186 Department, College, and/or University, that have positively and significantly
1187 impacted specific programs or initiatives as well as substantial leadership
1188 contributions to the academic field of study;

1189 • Evidence of continuing promise of proficient performance in teaching,
1190 research or creative activity, or service as governed by the percentages
1191 established in the candidate's annual work plans, and the description of
1192 responsibilities and duties as outlined in the candidate's letters of
1193 appointment;

1194 b. Promotion of Tenurable and Tenured Faculty

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1196 (1) Promotion of Tenurable Faculty from Assistant Professor to Associate Professor

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- Normally, at least four years in rank as an Assistant Professor, two of which must be at the University of Louisville;
 - Evidence of proficient performance in each of the three standard areas (teaching, service, and research and creativity);
 - Evidence of continuing promise of proficient performance in the three areas.

(2) Promotion of Tenured Faculty from Associate Professor to Professor

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- Normally, at least four years in rank as an Associate Professor, two of which must be at the University of Louisville;
 - At least eight years of college or university experience at the rank of Assistant Professor or above since earning a terminal degree;
 - Evidence of proficient performance in each of the three standard areas (teaching, service, research and creativity);
 - Evidence of continuing promise of proficient performance in the three areas.

d. Emeritus

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Emeritus is an honorary title that may be conferred on retired faculty who have had distinguished professional careers and who have made significant contributions to the College. Emeritus faculty may retain certain privileges including continuing to participate in the following faculty activities (a) attend (but not vote at) faculty meetings, (b) participate in public ceremonies such as graduation and doctoral hoodings, (c) serve on doctoral program and dissertation committees and master's thesis committees, (d) teach courses, and (e) engage in other research or educational activities. Emeritus faculty may be listed in departmental and college directories.

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Criteria for Candidacy: Successful candidates for emeritus faculty status will have:

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1. At least 10 years of continuous full-time employment at the University of Louisville prior to retirement.
 2. An outstanding record of one or more of the following:
 - a. scholarly achievement commensurate with national and international standards within the candidate's specific discipline
 - b. teaching and educational contributions
 - c. service to the department, college, or university well beyond normal expectations

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B. Evaluation for Promotion: Process

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1. Each year, department chairpersons recommend to the dean those faculty members who should be promoted. Faculty members who are to be reviewed bear primary responsibility for collecting, organizing, and presenting evidence to support the recommendation; they should work closely with department chairpersons to address the standards in 2.0, above, and the criteria in 3.3.F.2, above.
 2. The department chairperson prepares a written assessment of the faculty member's performance and forwards the assessment to the dean via the College Personnel Committee (copy to the faculty member).
 3. Independently of the chairperson's review, the department personnel committee prepares a written assessment of the faculty member's performance and forwards the assessment to the dean via the College Personnel Committee (copy to the faculty member and the faculty member's department chairperson).
 4. The College Personnel Committee prepares a written assessment of the faculty member's performance and forwards the assessment to the dean (copy to the faculty member and the faculty member's department chairperson).

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5. After considering the recommendations and assessments of the department chairperson, the Department Personnel Committee, and the College Personnel Committee, the dean makes a recommendation to the Provost regarding promotion and/or tenure, informing the faculty member, the department chairperson, and the College Personnel Committee of the nature of the recommendation.
 6. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Provost (see *Redbook* 4.2.2.H.4).
 7. Except in cases of early tenure, evaluations for promotion, once originated, shall proceed as indicated above unless the faculty member under review resigns from the university.
 8. In cases involving promotion, if the recommendation of the Provost, dean, or department chair is negative, the candidate may request a hearing to grieve the decision consistent with the standards in the Redbook in front of the University Faculty Grievance Committee. This request must be delivered on or before the tenth day following the action being challenged.

1274 C. Evaluation for Promotion: Standards, Definitions, and Evidence

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1276 See Section 3.3.F.2 of this document, Faculty Performance: Standards, Definitions, and Evidence

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1279 **Sec. 3.5 Periodic Career Reviews**

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1281 A. Faculty with Tenure

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1283 1. Purpose

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1285 Tenured faculty in the College of Education & Human Development shall undergo periodic
1286 career reviews to evaluate their continued scholarly and professional growth.

1287 2. Procedures

- 1288 a. Unless otherwise specified below, all faculty holding tenured appointments in the College
1289 of Education and Human Development shall undergo periodic career review during March
1290 and April after every fifth year of service as a tenured faculty member.

1291 (1) When deans, associate or assistant deans, and other full-time administrators who
1292 hold tenured faculty appointments vacate their administrative positions, their
1293 periodic career review period shall begin when they assume full-time faculty
1294 positions.

1295 (2) If the review period ends during a sabbatical year (or other leave year), the periodic
1296 career review shall be deferred until the following academic year.

1297 (3) If a tenured faculty member is promoted, the promotion review shall satisfy the
1298 requirement of periodic career review, and the date of promotion shall mark the
1299 beginning of the next five-year review period.

1300 (4) If a tenured faculty member is being considered for promotion during a review year
1301 but does not achieve it, the periodic career review shall take place.

- 1302 b. By May 1 of the year prior to the review year, the faculty member will be notified that he or
1303 she will have a periodic review in the coming academic year.

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- c. The dean's office will provide to the personnel committee copies of the faculty member's Annual Reviews and Annual Work Plans for the period since the last review no later than the third Friday of the review semester. The faculty member may add any other documents he or she deems appropriate. Only these documents will be reviewed. The candidate may request extramural review of his or her research. Otherwise, extramural review will not be part of the process.
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- d. The personnel committee shall examine the file and, prior to the end of the eighth week of the semester, shall issue a report to the dean with copies to faculty member and his or her chair.
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- e. If the conclusion of the report is the faculty member's overall contribution has been *satisfactory* (met the minimum requirements of the CEHD consistent with the standards and criteria of sections 2.0 and 3.3.F.2 delineated above) during the review period, the faculty member begins the next review period in the following academic year.
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- f. If the conclusion of the report is that the faculty member's contribution has been meritorious or above over the entire review period, this will be noted in the faculty member's files and will be considered if supplemental salary increase money is available. The dean shall determine the amount of any such salary increase.
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- g. If the conclusion of the report is that the faculty member's contribution has been *unsatisfactory* (did not meet the minimum standards of the CEHD), the report shall state the deficiency (ies) that was (were) the basis for the conclusion. Within thirty calendar days of receipt of the report, the faculty member, in consultation with his or her department chairperson will prepare a career development plan acceptable to the dean to remedy the deficiency (ies) in one year, unless the dean approves a longer period.
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- (1) If the faculty member completes the agreed-upon one-year Career Development Plan, the faculty member shall then have one more year to demonstrate satisfactory performance.
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- (2) The faculty member will then undergo a Career Review in the academic year following the one year given to demonstrate satisfactory performance.
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- (3) The focus of this Career Review will be on the faculty member's development plan.
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- (4) If the faculty member is evaluated as satisfactory, the next five-year review period begins on the following July 1.
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- (5) If the faculty member is again evaluated as unsatisfactory, the record of the periodic career review and the record of the Career Development Plan are submitted to the dean for appropriate action.
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- h. If the faculty member undergoing review is a department chairperson, the development plan is prepared with and agreed to by the dean.
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- i. All rights of due process and appeal found herein or in *The Redbook* shall obtain in all reviews of faculty.

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B. Clinical and Research Faculty—Periodic Career Reviews

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Clinical and Research faculty are to be reviewed annually and at the end of each contract term. Annual Work Plans and Annual Reviews will be included in the materials submitted for the review. Evaluation of the candidate's materials will be guided by the work specified in the candidate's Annual Work Plans. Periodic Career Review of Clinical and Research faculty shall be the contract renewal review (section 4.2.4.B. of *The Redbook*).

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Article 4.0 Conditions of Faculty Employment

Sec. 4.1 Annual Work Plan and Presence at the University

A. Annual Work Plan

1. Each faculty member will prepare and submit to his or her Chair a proposed workplan no later than November 1. The Chair, working with the faculty member, will review and approve the workplan and submit to the Dean for approval no later than December 1. Chairpersons and Associate/Assistant Deans will prepare and submit to the Dean a written Annual Work Plan no later than December 1.
2. The Annual Work Plan should include prioritized professional goals and objectives for the forthcoming year in the areas of Teaching, Service, and Research and Creative Activity.
3. The Annual Work Plan for the forthcoming year will include intended contributions related to the mission of the department, college and university in terms of the performance objectives and criteria described in 2.0 above and further articulated in 3.0 above.
4. The goals and objectives for the forthcoming year (i.e., intended outcomes) will be agreed upon and the Annual Work Plan will be dated and signed by the faculty member and Chairperson. In the event that the faculty member and Chairperson cannot reach agreement the faculty member may appeal the Chairperson's requirements of the faculty member, in writing and with a detailed rationale, to the Dean no later than December 20. Any rationale provided by the Chair shall also be in writing to the Dean and the faculty member.
5. One copy of both the Annual Review narrative and the Annual Work Plan will be retained by the faculty member, one copy will be placed in the department's personnel file, and one copy in the Dean's office.
6. The Annual Work Plan for the forthcoming year will be agreed upon and dated and signed by the Chairperson or Associate/Assistant Dean and the Dean no later than January 15.
7. One copy of the next year's Annual Work Plan will be retained by the Chairperson or Associate/Assistant Dean and one copy will be placed in the Dean's office personnel files.
8. The Annual Work Plan may be amended with the agreement of the faculty member and chair or immediate supervisor. The amendment will be placed in the Dean's office personnel files.

B. Basic Faculty Work Load Assignment

1. For purposes of computing faculty workload assignments, the three-credit-hour course will be the basic unit of measure: one three-hour course = 10% of academic year load.
2. The basic faculty annual workload for probationary and tenured faculty is 50 per cent of effort devoted to teaching, 30 per cent of effort devoted to research and creative activity, and 20 per cent of effort devoted to service.
3. The basic faculty annual workload for clinical faculty is 80 percent of effort devoted to teaching, and 20 percent of effort devoted to service.
4. The basic faculty annual workload for research faculty is 80 percent of effort devoted to research and 20 percent of effort devoted to service; however, research faculty percent of effort devoted to research may not be less than 60 percent.

C. Flexible Faculty Work Load Assignment

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1. Faculty members may negotiate with department chairpersons for assignments that differ from the basic faculty workload provided above. Through such negotiations, departments may seek the flexibility that allows pursuit of missions and objectives while capitalizing on the differing strengths of individual faculty members. Probationary faculty must demonstrate broad proficiency in the three areas specified in 2.0.
2. Each faculty member in collaboration with his or her chair may also establish with a written agreement equivalencies to be used within the department to give load credit for faculty responsibilities including supervising student teachers, serving as a professional development school liaison, directing independent studies or course by conference, serving as director or clinical training or other academic programs, directing field experiences, chairing or serving on dissertation and masters committees, team teaching, other forms of collaborative teaching, advising, working within schools, coordinating placement of teachers and interns, research projects (both individual and multidisciplinary), edit journals, leadership of national organizations, large service grants, and other activities consistent with and necessary for the College to achieve its mission.
3. Individual faculty members may negotiate course releases when he/she receives outside funding.
4. All faculty workload assignments must be approved by the dean.

D. Faculty Work Load Assignments and Faculty Reviews

1. Load assignments of faculty will be kept on file in the department as documentation for reviews of promotion and tenure, as well as for all periodic reviews (see 6.0, below). Evaluations of faculty performance in the standard areas in 2.0, above, will be adjusted to suit the nature of a faculty member's workload assignments during the review period. That is, for example, if a faculty member negotiates an assignment that excludes responsibility for service during a calendar year, the annual review will also exclude consideration of service; or, if a faculty member negotiates a reduced assignment in any of the standard areas, the review will be adjusted accordingly.
2. Tenured faculty may choose during their careers to emphasize one or another of the categories of faculty performance. Tenured faculty may submit written proposals regarding such variable career emphasis to their department chairpersons. Proposals should specify the standard areas to be emphasized, the standard area in which responsibility is to be diminished or excluded, and the time period during which the variable career plan will be in effect. When the chairperson agrees to the proposal, it shall be reviewed by the Department Personnel Committee, and forwarded to the dean for approval. It is important to understand that agreements reached under this provision do not supercede the criteria required for successful review and promotion to full professor. It must also be understood, however, that there may be some instances where, with the prior agreement of the dean and Provost, and in ways consistent with the Redbook, that activities such as administrative duties or other appropriate accomplishments may be considered more heavily as part of a faculty member's case for promotion. Any agreements reached under this provision shall be made with the full understanding of the faculty member of the potential implications for future review and promotion and all understandings should be documented in writing.
3. Other Duties - When duties other than those usually classified as teaching, research or creative activity, or service, are assigned to a faculty member, such as academic administration, program coordination, or other administrative duties, the effective performance of these duties shall be evaluated as prescribed by the evaluation procedures of the University. Ideally such duties would be of a limited scope or duration so as not to impede the normal time for promotion for any probationary faculty or tenured faculty at the rank of Associate Professor. In assigning such duties to probationary faculty and faculty at the rank of Associate Professor, the impact of any such duties on the progress towards promotion

1464 and/or tenure should be given significant consideration. Evidence of effectiveness in
1465 performance of such duties may include but is not limited to materials and other evidence
1466 attesting to department leadership: program coordinator, program review and/or accreditation
1467 documents, student learning outcome reports, student orientations, course sequence and
1468 schedules, part-time faculty recruitment, mentoring and supervision, student concern
1469 documentation, and other activities involving college/department/program academic
1470 leadership.

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1473 **Sec. 4.2 Compensation**

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1475 The College follows the policies and procedures stated in *The Redbook* (See 4.3.2 and specifics below):
1476 "Faculty employment contracts shall be as uniform as possible throughout the University. Each faculty
1477 member's base salary, exclusive of supplemental pay, once established for tenured faculty or during a
1478 contract period at the University of Louisville shall not be reduced except in a fiscal emergency or under
1479 the most extreme circumstances."

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1481 **Sec. 4.3 Work Outside the University**

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1483 The College follows the policies and procedures stated in *The Redbook* (See 4.3.3 and specifics below):
1484 "Full-time faculty of the University may carry out professional work outside the University, with or without
1485 pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of
1486 weeks of their employment in a given year, provided that such work is previously approved by the dean
1487 as appropriate to the faculty member's expertise and the mission of the university and provided that such
1488 work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities
1489 at the University. As part of the documentation for annual review, full-time faculty shall submit a report of
1490 this professional work outside the University under the provisions of this section."

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1492 **Sec. 4.4 Paid Tutoring**

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1494 The College follows the policies and procedures stated in *The Redbook* (See 4.3.4 and specifics below):
1495 "No one shall receive any compensation for tutoring students in a course in which that person is
1496 empowered to grant the student credit or over which any direct authority may be exercised."

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1498 **Sec. 4.5 Sabbatical Leave**

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1500 The College follows the policies and procedures stated in *The Redbook* (See 4.3.5 and specifics below):
1501 "The sabbatical leave is recognized as a serious professional responsibility and shall be utilized for
1502 activities that will improve the faculty member's contribution to the University's missions. A tenured faculty
1503 member who has six contract years of full-time service at the University of Louisville may petition for a
1504 sabbatical leave of absence for one-half contract year on full pay or for one contract year on one-half pay.
1505 Faculty members on twelve-month appointments may receive six months of leave with full pay or twelve
1506 months' leave with one-half pay. No more than one year of leave, as defined in Sections 4.3.6 and 4.3.7
1507 (*The Redbook*), may be counted as years of service toward sabbatical leave. The University shall make
1508 every effort to approve all appropriate applications. Sabbatical leave shall be granted only upon the
1509 approval of the dean (and the Vice President for Health Affairs, where appropriate), the Provost, and the
1510 President. No leave will be granted without the guarantee of at least one year of continued full-time
1511 service after return from the sabbatical leave."

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1513 **Sec. 4.6 Leave of Absence Without Pay**

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1515 The College follows the policies and procedures stated in *The Redbook* (See 4.3.6 and specifics below):
1516 "A faculty member may request a leave of absence without pay at any time. The dean of the unit, the
1517 Provost, and the President must approve such leaves. Disciplinary leaves of absence without pay may
1518 be imposed by deans with the approval of the Provost and the President.

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1520 **Sec. 4.7 Leave of Absence With Pay**

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1522 The College follows the policies and procedures stated in *The Redbook* (See 4.3.7 and specifics below):
1523 “A faculty member may request a leave of absence with pay at any time. The dean of the unit, the
1524 Provost and the President must approve such leaves. Disciplinary leaves of absence with pay may be
1525 imposed by deans with the approval of the Provost and the President.”

1526
1527 **Sec. 4.8 Retirement**
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1529 The College follows the policies and procedures stated in *The Redbook* (See 4.3.8 and specifics below):
1530 “The Board of Trustees shall make available a retirement annuity plan for full-time faculty members, after
1531 a stated minimum period of service in such capacity. Each retirement annuity contract shall be vested in
1532 the individual participant. Faculty members will retire under the provisions and conditions set out in the
1533 retirement plan adopted by the Board of Trustees.”

1534
1535 **Article 5.0 Resolution of Disagreements**
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1537 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4. for details).
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1539 **Article 6.0 Termination of Service**
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1541 The College follows the policies and procedures stated in *The Redbook* (See Article 4.5 for details).
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1543 **Article 7.0 Personnel Documents**
1544

1545 The College follows the policies and procedures stated in *The Redbook* (See Article 4.6 for details).
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1547 **Appendix 1: Grievance Procedures**
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1549 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4 for details).
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1551 **Appendix 2: Termination Process**
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1553 The College follows the policies and procedures stated in *The Redbook* (See Appendix “Termination
1554 Process” for details).
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1556 Approved by the Faculty: 03-03-95

1557 Amended by the Faculty: 08-24-95; 09-28-95; 02-26-02; 03-04-05; 04-29-05; 03-12-10; 09-17-10; 08-14-
1558 15

1559 Approved by Faculty Senate: 01-11-06; 10-06-10

1560 Approved by Board of Trustees: 4-18-06; 10-14-10