



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 The College follows the policies and procedures stated in *The Redbook* (See 4.1.1 and specifics under  
112 4.1,2, 4.1.3, and 4.1.4):  
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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. Part-time faculty role shall be one of two kinds: 1) lecturer or 2) senior lecturer, if  
122 hired to teach. If Part-time faculty is hired to engage in research, title shall be 1) a researcher  
123 or 2) a senior researcher. If part-time faculty is hired to supervise, title shall be 1) a  
124 supervisor or 2) a senior supervisor. These two classifications shall be based on part-time  
125 faculty's academic qualifications, experience or seniority.  
126

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

133 Part-time faculty shall be included in the development of their performance criteria and the  
134 process for changing status from a lecturer to senior lecturer; a researcher to a senior  
135 researcher; and a supervisor to a senior supervisor. These criteria shall be noted in part-time  
136 faculty's contract and annual workplan.  
137

138 The College of Education and Human Development shall provide electronic or other form of  
139 notice of part-time teaching opportunities to hire the most qualified part-time faculty and make  
140 the hiring process as open as possible.  
141

142 These criteria shall be noted in part-time faculty's contract and annual workplan. The criteria  
143 for appointment and promotion of part-time faculty shall focus on the specific work  
144 expectations of the faculty member (i.e., teaching, service, research).  
145

146 Part-time faculty in CEHD shall only be judged on their specific work expectations. The  
147 criteria in each area shall be the same as those for tenure and promotion of tenure-track  
148 faculty, although only one or two work expectations may be evaluated. Part-time faculty shall  
149 be reviewed annually in writing and these reviews shall be maintained in the office of the  
150 Dean.  
151

- 152 C. Emeritus appointments, either part-time or full-time, should originate in the departments. A  
153 department personnel committee recommendation along with the recommendation of the chair  
154 should be sent to the CEHD Personnel Committee, which will in turn make their recommendation  
155 to the CEHD Dean. The Dean will then forward a recommendation to the Provost. This  
156 recommendation must be approved by the President and the Board of Trustees.  
157

## 158 **Sec. 1.2 Nontenurable Full-Time Appointments**

### 159 A. Temporary Appointments

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162  
163 1. Temporary appointments to the various academic ranks may be made for specifically limited  
164 time periods less than one year or for special purposes. In no case shall a temporary  
165 appointment or a renewal thereof result in the acquisition of tenure.  
166

### 167 B. Term Appointments

- 168  
169 1. Term faculty may be appointed for a contract period not to exceed 3 years. Such  
170 appointments shall not be tenurable. No term contract, continuation, or renewal shall result in  
171 the acquisition of tenure or imply renewal for subsequent terms.  
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173 2. Term faculty appointments are faculty appointments that may be funded through general  
174 funds, restricted funds, or clinical revenues.

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3. The contract renewal review by the Dean shall serve as the periodic career review of term faculty. The College's bylaws specify issues regarding participation and franchise in unit governance.
  4. A nontenurable faculty member shall be eligible to apply for and be appointed to a tenurable position. The Provost's letter of appointment shall state whether and to what extent the new appointment shall consider time served in nontenurable status as prior service (Section 4.1.2.B.4 of *The Redbook*).

185 **Sec. 1.3 Probationary Appointments**

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- A. Definition  
No probationary appointment to the University shall extend beyond the period when tenure would normally be granted (Section 4.2.2).
  - B. Instructors  
Probationary appointments to the rank of instructor shall be for stipulated terms of one year each.
  - C. Assistant and Associate Professors  
Probationary appointments to the rank of Assistant or Associate Professor shall be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter.
  - D. Professors  
Professors shall be awarded tenure if employed subsequent to the initial probationary appointment.

203 **Sec. 1.4 Tenure Appointments**

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- A. Definition  
Tenure is the right of full-time faculty personnel who hold academic rank to continuous full-time employment without reduction in academic rank until retirement or termination.
  - B. Administrators  
Administrative personnel who have acquired tenure are subject to the regulations herein on tenure and the provisions governing termination only in their capacities as faculty members.
  - C. Tenure Recommendations  
Recommendations concerning the award or denial of tenure shall originate in the faculty of the academic unit in which tenure is to be granted.
  - D. Establishment of Tenure Date  
For probationary appointments, the date of mandatory tenure and the number of years of previous full-time service to be counted toward acquisition of tenure shall be stipulated by the Provost and agreed to in writing by the nominee before the appointment is made by the Board of Trustees.

223  
224 **Article 2.0 Faculty Performance: Standards and Definitions**

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226 The standards articulated in this section are fundamental to all faculty personnel decisions and  
227 particularly to decisions involving promotion and tenure, which are the basis of the most comprehensive  
228 evaluation of faculty performance.  
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233 **Sec 2.1 Teaching**  
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235 Teaching is the guiding of University of Louisville students in the acquisition of knowledge, attitudes,  
236 skills, and dispositions. Teaching is broadly understood to include all the activities in which a faculty  
237 member is engaged in efforts to instill knowledge, improve skills, or foster attitudes and dispositions in  
238 students. Therefore, multiple criteria to be used to evaluate teaching include not only classroom  
239 instruction but also field supervision and visitations, the various forms of individualized instruction, student  
240 advising and counseling, as well as developing and refining courses, programs, and curricula. It also  
241 includes the directing of master's theses, specialist professional papers, doctoral dissertations, and  
242 mentoring of students in interdisciplinary programs. Faculty are expected to work collaboratively with  
243 students, colleagues, practitioners, and other persons within and outside the university in their teaching  
244 activities.  
245

246 **Sec 2.2 Service**  
247

248 Faculty engage in service activities when they make their academic or professional expertise available to  
249 others in the university, the profession, the local community, or beyond the local community. Service is  
250 the application of knowledge in one's particular discipline or field of study; service is the application of  
251 general academic expertise that results from experience as a university educator, as when one  
252 participates in faculty governance within the university or when service activities outside of the university  
253 are linked to one's general academic expertise; service may also include the development of knowledge,  
254 insight, or new intellectual understanding that results from applying one's particular academic expertise in  
255 service activities. Faculty are expected to work collaboratively with students, colleagues, practitioners,  
256 and other persons within and outside the university in their service activities.  
257

258 **Sec 2.3 Research or Creative Activity**  
259

260 Research or Creative Activity may include empirical or theoretical research. Basic research requires no  
261 other justification than the intrinsic good of knowing and understanding. Applied research seeks to affect  
262 practice and/or policy in education and human development. It may also establish connections across  
263 the disciplines (multidisciplinary), reveal to specialists and nonspecialists alike the larger context of  
264 knowledge, and interpret the original research in one's discipline or field. Research and creative activity  
265 also undergirds effective teaching and facilitates communication of the knowledge of one's discipline or  
266 field to students. Faculty are expected to work collaboratively with students, colleagues, practitioners, and  
267 other persons within and outside the university in their research or creative activities.  
268

269 **Sec 2.4 Overall Expectations**  
270

271 Unless otherwise specified in this document, all personnel reviews will be defined by proficient  
272 performance in the three standards articulated in *The Redbook* as well as above. All faculty will be  
273 expected to perform at a proficient level with respect to each of these three standards and, in promotion  
274 and tenure decisions (also see criteria in 3.0).  
275

276 **Article 3.0 Faculty Personnel Reviews**  
277

278 **Section 3.1 Reviews of Faculty**  
279

280 In addition to initial reviews at the time of appointment, all College of Education & Human Development  
281 faculty are reviewed for various purposes and at various times during their careers. Career reviews of  
282 faculty include annual review, pre-tenure review, review for tenure and promotion to Associate Professor  
283 (which normally occur concurrently), review for promotion to Professor, periodic career review, and other  
284 performance reviews for faculty with nontenable term appointments as provided in *The Redbook*.  
285

286 A. Appointment Reviews (see also criteria in 1.1)  
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- 288  
289 1. The department chairperson, after consultation with the department faculty, recommends to  
290 the dean the person to be appointed as well as title and rank.

- 291  
292 2. The dean submits the recommendation to the College Personnel Committee for its advice.  
293  
294 3. The dean makes a recommendation to the Provost informing the department chairperson and  
295 the College Personnel Committee of its contents.  
296

### 297 **Sec. 3.2 Annual Reviews**

298  
299 Annual reviews of all faculty in the College of Education & Human Development are to be completed.  
300

#### 301 A. Criteria for Annual Review

##### 302 303 1. Definition of Eligibility for Annual Review

304 Each Department Chairperson will, in collaboration with the faculty of that department and with  
305 the approval of the Dean, develop the performance objectives and criteria upon which the Annual  
306 Review salary increases will be determined and these performance objectives and criteria shall  
307 be reflected in the work plan as required in the Redbook. Performance objectives and criteria in  
308 each Department shall be based upon the department's mission statement and objectives, the  
309 College of Education and Human Development's mission statement and objectives, and the  
310 standards of faculty performance in sections 2.0, 3.3 and 3.4 of the College of Education and  
311 Human Development's "Personnel Policies and Procedures." These standards refer both to  
312 specific forms of products that can be included as well as provide parameters for consideration of  
313 the quality of the work which shall be a core element of reviews.  
314

315 Evaluations should be weighed according to the percent work effort in each area of the work plan.  
316 Faculty who anticipate assignments that are so different from College norms that they require  
317 different criteria should propose in writing such criteria as a part of their Annual Work Plan. When  
318 this occurs the Plan must be reviewed by the Department and College Personnel Committee to  
319 check for alignment and adherence to University-wide minimum guidelines and unit specific  
320 criteria and approved by the Chairperson and Dean during the Annual Review process. It is the  
321 responsibility of the faculty member to provide evidence of the quality and impact of his or her  
322 teaching, research, creative activity, and service. The Annual Work Plan will be included in the  
323 materials submitted for the review.  
324

##### 325 2. Purpose

- 326  
327 a. The primary purpose for establishing a set of Annual Review salary increase procedures is to  
328 formalize and actively encourage faculty development and productivity in teaching, service,  
329 and research and creativity.  
330  
331 b. A secondary purpose is to recognize and reward those who meet and exceed Department  
332 and College expectations. A faculty member who demonstrates optimal performance on the  
333 work assignment should be eligible for the maximum salary increase specified by the unit's  
334 merit policies such that if a faculty member's work assignment is heavily weighted toward  
335 teaching or service and optimal performance is demonstrated in those areas, he or she  
336 should be eligible for the maximum salary increase.  
337

#### 338 B. Procedures

- 339  
340 1. Chairpersons will meet annually with each full-time faculty member to conduct an Annual Review  
341 that is based on the allocation of effort reflected in the work plan and criteria in sections 2.0, 3.3,  
342 and 3.4 of the College of Education and Human Development's "Personnel Policies and  
343 Procedures" document as called for above. A faculty member is defined as anyone holding a full-  
344 time, probationary or tenured appointment in a department. Those individuals who are on term  
345 appointments are evaluated annually to determine the quality of their performance in assigned  
346 areas. Faculty performance will be evaluated as either not satisfactory, "satisfactory but needs  
347 improvement", satisfactory, or the appropriate category of meritorious as described below. Part-  
348 time instructors whose principal employment is in another unit or is outside the university will not

349 be subject to this review. All other part-time faculty will be reviewed in the same manner as these  
350 appointments but will not receive written feedback.

- 351  
352 2. Each full-time faculty member will prepare and submit to his or her Chair a written Annual Review  
353 narrative no later than January 15. Faculty who fail to turn in annual reviews by the deadline  
354 without prior written approval from their chair, the dean, or without extenuating circumstances  
355 may not be eligible for a salary increase.

- 356  
357 a. The Annual Review will include evidence of accomplishments of the preceding calendar year  
358 in the areas of Teaching, Service, and Research and Creative Activity. Chairpersons will  
359 base their reviews upon the materials and self-assessment provided by the faculty member  
360 and other documentation placed formally in the faculty member's file consistent with the  
361 Preamble and College personnel committee process and will judge faculty accomplishments  
362 by the specific allocation of effort agreed to as part of the prior year's Annual Work Plan,  
363 including both the attainment of the products and quality of the products as called for in that  
364 work plan as well as the execution and quality of role assignments that appear in the work  
365 plan (See Article 4.0). It is the responsibility of the faculty member to provide evidence of the  
366 quality and impact of his or her teaching, research, creative activity, and service. The Annual  
367 Work Plan will be included in the materials submitted for the review.

368  
369 The Annual Review meetings between faculty members and Chairs will commence by  
370 January 15 and be completed by March 1.

- 371  
372 b. Each faculty member and his or her Chairperson will discuss the Annual Review  
373 materials and will examine evidence related to the specific performance indicators agreed  
374 upon as part of the prior year's Annual Work Plan.

375  
376 The Chairperson will prepare a written recommendation to be forwarded to the Dean. The  
377 recommendation shall state whether, in the Chairperson's judgment, the faculty member's  
378 performance has been: not satisfactory, satisfactory but needs improvement, satisfactory,  
379 meritorious, or highly meritorious and the recommendation shall be specific regarding  
380 weaknesses and deficiencies (if any), as well as suggestions (if any) for improvement and  
381 possible adjustments in work load. The faculty member being reviewed shall receive a copy  
382 of the Chairperson's recommendation which shall include the reminder that "the performance  
383 evaluation recommended is not final until they meet with the other Chairs, the Dean and  
384 her/his designated senior staff to merge the Annual Reviews of all faculty into the  
385 performance categories" as is called for in part 3.2.B.2.d below.

386  
387 If the faculty member disagrees with the Chairperson's written recommendation and wishes  
388 to appeal, the faculty member will discuss the recommendation letter with the Chairperson in  
389 a meeting scheduled within five working days after receiving the Chair's recommendation. If  
390 the disagreement remains unresolved, the faculty member has the right to insert into the  
391 record a written rebuttal of the Chairperson's recommendation before it is presented to the  
392 Dean. The rebuttal must set forth the reason for the appeal but may not include additional  
393 evidence. Corrections of errors of fact may be included. Any appeal will go forward on the  
394 basis of the written Annual Review record as originally presented. Written recommendations  
395 shall be placed both in the faculty member's College mailbox as well as mailed that same day  
396 to the faculty member's home address as reflected in the University profile. The faculty  
397 member must submit the written rebuttal not more than 10 days after such mail is postmarked  
398 and available in the faculty member's college mailbox. An email shall also be sent to the  
399 faculty member on the date of mailing notifying them of the availability of the written  
400 recommendation in their mailbox at the College of Education and Human Development.

- 401  
402 c. All recommendations for Annual Review salary increases and written rebuttals will be  
403 forwarded to the Dean by March 15 of each year.

- 404  
405 d. After all Annual Reviews are finalized, Chairpersons will group all faculty within their  
406 Department in categories (not satisfactory, satisfactory but needs improvement, satisfactory,

407 meritorious, and highly meritorious). Then they will meet with the other Chairs, the Dean and  
408 her/his designated senior staff to merge the Annual Reviews of all faculty into the categories.  
409 The groupings will be college-wide in order to strive for fairness in judgment across the unit.

- 410
- 411 e. Once the Chairs and Dean pursuant to Section "d" above have completed the grouping  
412 recommendations for all faculty, the Dean shall assign a final faculty rating. The Dean will  
413 also independently place the Chairs, Associate and Assistant Deans in the appropriate  
414 groups thereby completing the full college annual salary recommendations.
- 415
- 416 f. The Dean will discuss the faculty recommendations with the appropriate Chairperson. The  
417 Dean will then notify the faculty member and the Chairperson of his or her final  
418 recommendation no later than June 1.
- 419

#### 420 C. Appeals Process

- 421
- 422 1. If the faculty member disagrees with the Dean's recommendation and wishes to appeal, the  
423 faculty member must first discuss the area(s) of disagreement with the Dean in a meeting  
424 scheduled within five working days after receiving the Dean's recommendation. Written  
425 recommendations shall be placed both in the faculty member's College mailbox as well as mailed  
426 that same day to the faculty member's home address as reflected in the University profile. The  
427 faculty member must submit the written rebuttal not more than 10 days after such mail is  
428 postmarked and available in the faculty member's college mailbox. An email shall also be sent to  
429 the faculty member on the date of mailing notifying them of the availability of the written  
430 recommendation in their mailbox at the College of Education and Human Development. If the  
431 disagreement is not resolved during that meeting, the faculty member may present a written  
432 appeal to the College Personnel Committee within 10 working days of the meeting with the Dean.  
433 The rebuttal must set forth the reason for the appeal but may not include additional evidence.  
434 Any appeal will go forward on the basis of the written Annual Review record as originally  
435 presented.

436

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

442

443 At the conclusion of the appeals process, faculty members who have a successful appeal will  
444 have their ranking recalibrated thereby finalizing the full college Annual Review faculty salary  
445 rankings.

446

#### 447 D. Chairpersons and Associate/Assistant Deans

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- 449 1. The Dean will serve as the Chairperson's or Associate and/or Assistant Dean's supervisor in the  
450 evaluation of the Annual Review. The Dean will seek the advice of Department faculty and  
451 relevant others as appropriate.
- 452
- 453 2. The Annual Review of Chairpersons, Associate and Assistant Deans will be conducted by the  
454 Dean and will commence on February 1 of each year.
- 455
- 456 3. The Chairperson's, Associate, or Assistant Dean's Annual Review will recognize administrative  
457 as well as usual faculty responsibilities.
- 458
- 459 4. The Chairperson, Associate or Assistant Dean and the Dean will review each individual's Annual  
460 Work Plan and examine the indicators of success.
- 461
- 462 5. The Dean will inform the Chairperson, Associate, or Assistant Dean by letter whether, in the  
463 Dean's judgment, the Chairperson's or Associate/Assistant Dean's performance has been not  
464 satisfactory, satisfactory but needs improvement, satisfactory, meritorious or highly meritorious

465 with regard to the criteria in Article 2.0, above, and with regard to the Chairperson's, Associate or  
466 Assistant Dean's administrative responsibilities. The recommendation shall be specific regarding  
467 weaknesses and deficiencies (if any), as well as suggestions (if any) for improvement and  
468 possible adjustments in workload.

- 469
- 470 6. One copy of the Annual Review narrative will be retained by the Chairperson, Associate, or  
471 Assistant Dean and one copy will be placed in the Dean's Office personnel files.
- 472
- 473 7. If the Chairperson, Associate or Assistant Dean disagrees with the Dean's written  
474 recommendation and wishes to appeal, the Chairperson, Associate or Assistant Dean must first  
475 discuss the area(s) of disagreement with the Dean in a meeting scheduled within five working  
476 days after receiving the Dean's recommendation. If the disagreement is not resolved during that  
477 meeting, the Chairperson, Associate, or Assistant Dean may present a written appeal to the  
478 College Personnel Committee within 10 working days of the meeting with the Dean. The rebuttal  
479 must set forth the reason for the appeal but may not include additional evidence. Any appeal will  
480 go forward on the basis of the written Annual Review record as originally presented. Once the  
481 Dean with regard to all appeals makes a final decision, he or she will meet with the College  
482 Personnel Committee to discuss any decisions that differ from the Personnel Committee's  
483 recommendations.
- 484
- 485 a. At the conclusion of the appeals process, Chairpersons, Associate or Assistant Deans who  
486 have a successful appeal will have their ranking recalibrated thereby finalizing the full college  
487 Annual Review salary rankings.

488

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

- 492
- 493 1. Administrative officers and appropriate faculty bodies shall protect faculty members from  
494 inequities in salary.

495

496 Those faculty members who are rated not satisfactory will receive a zero salary increase for that  
497 year.

498

499 The total annual merit raise pool will then be distributed to all faculty who are rated "satisfactory  
500 but needs improvement", "satisfactory", "meritorious", or "highly meritorious" as a percent of their  
501 current salary through the process described below. The total annual merit raise pool shall be  
502 distributed as follows: (a) When the merit pool is less than or equal to 3% or to the federal cost of  
503 living adjustment, whichever is greater, 70% of the pool would be distributed to all of those  
504 receiving a rating of "satisfactory but needs improvement" or higher and 20% would be used as  
505 meritorious pool. The distribution of the 70% to go to all faculty receiving raises would be as a  
506 percentage of their base salary (i.e., if there is a 3% raise pool and all faculty are receiving a  
507 raise, each faculty member receiving a satisfactory rating would receive .7 x 3% or a raise of  
508 2.1%). Faculty receiving the rating of "satisfactory but needs improvement" shall receive .50  
509 (50%) of the percentage of the raise provided to those receiving ratings of "satisfactory."

510

511 Those rated as meritorious or highly meritorious shall also receive one or two annual review  
512 points, respectively. For Assistant Professors the final number of annual review points earned  
513 (i.e., 1 point for a rating of meritorious or 2 points for a rating of highly meritorious) shall be  
514 multiplied by 1.0 to gain a weighted total of Annual Review points to be awarded. For Associate  
515 Professors, the total number of annual review points earned shall be multiplied by 1.2 to gain a  
516 weighted total of Annual Review points to be awarded. For Full Professors, the total number of  
517 annual review points earned will be multiplied by 1.5 to gain a weighted total of Annual Review  
518 points to be awarded to the individual. The 20% of the raise pool to be used for compensating  
519 annual review points, as noted above, would then be divided by the total number of weighted  
520 Annual Review points awarded to arrive at the value of each annual review point. The remaining  
521 10% would then be used by the Dean to provide for additional merit adjustments based on annual  
522 and longer-term performance reviews (see, for example, 3.a below).

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- In the event that the merit pool exceeds 3% or the amount of the federal cost of living adjustment, whichever is greater (base level), that amount that exceeds the base level shall be distributed in keeping with the above patterns and conditions but with ratios now of 60%, 30%, and 10%. Faculty receiving the rating of "satisfactory but needs improvement" shall still receive .50 (50%) of the percentage of the raise provided to those receiving ratings of "satisfactory."
2. Appeals will be finalized and recalibrated in the total rankings. Then, the remaining highly meritorious salary pool will be divided by the total number of meritorious points (the sum of all weighted points awarded) to determine the monetary value of one point for that year. Finally, the monetary point value will be multiplied by a given faculty members, Chairperson's, or Associate/Assistant Dean's total Annual Review points to calculate that individual's final Annual Review salary increase.
  3. The Dean will inform each faculty member, Chairperson, Associate and Assistant Dean by letter of final Annual Review salary increase decisions.
    - a. The Dean's letter will include the total number of Annual Review points, the amount of any salary increase and/or one-time salary adjustment for performance. Because of timing issues, the Dean may send two letters, the first letter indicating the award of Annual Review points and the second letter once all appeals have been resolved and monies have been calculated, thus finalizing the amount of salary increase.
    - b. The Dean's letter will include the reasons for the Dean's decision.
    - 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, 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, satisfactory but 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.

581 **Sec. 3.3 Tenure**

582  
583 A. Time Required

584 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2): "All  
585 probationary faculty who have had seven years of service counted as in a tenurable faculty  
586 position, if reemployed full-time, shall be granted tenure."  
587

588 B. Leaves of Absence

589 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 B): "One  
590 year spent on an officially approved leave of absence may be counted toward the seven years of  
591 full-time service necessary for tenure. Any leave granted during the probationary period must  
592 carry with it a stipulation in writing as to whether the leave counts toward tenure."  
593

594 C. Extension of Probationary Period

595 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 C.): "A faculty  
596 member who faces extenuating circumstances that do not require a leave of absence but result in  
597 a significant reduction in ability to perform normal duties may request an extension of the  
598 probationary period for no less than six months and no more than one year. Such extensions  
599 must be requested and approved before the end of the fifth year of the probationary period and  
600 must have documentation satisfactory to the Provost."  
601

602 D. Prior Service

603 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 D.): "Previous  
604 full-time service with the rank of instructor or higher or comparable status in institutions of higher  
605 learning may be counted toward the acquisition of tenure."  
606

607 E. Early Tenure

608 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 E.): "1.  
609 Notwithstanding anything in *The Redbook* to the contrary, tenure may be granted at the time of  
610 initial appointment or in less than seven years when such action is warranted. 2. A faculty  
611 member may request only one evaluation for early tenure. 3. Evaluation for early tenure, once  
612 originated, shall proceed as indicated in Section 4.2.2.H. unless the faculty member under review  
613 requests its withdrawal."  
614

615 F. Evidence to be Submitted for Tenure

616  
617 1. General Statement of Criteria

618 The award of tenure is the appointment of a faculty member with the right to continuous full-  
619 time appointment without reduction in academic rank until retirement. Therefore, the tenure  
620 decision is the most important of all personnel decisions and will be made with particular  
621 care. A candidate for tenure bears primary responsibility for collecting, organizing, and  
622 presenting evidence to support the petition for advancement. Annual Work Plans and Annual  
623 Reviews will be included in the materials submitted for the review. Evaluation of the  
624 candidate's materials will be guided by the work specified in the candidate's Annual Work  
625 Plans.  
626

627 a. Candidates should work closely with department chairpersons to address the following  
628 criteria for the award of tenure:  
629

- 630 • Rank at Appointment: Only faculty members of the rank of Assistant Professor,  
631 Associate Professor, or Professor are eligible to receive tenure.
- 632 • Time Required: Normally, tenure will be awarded only after seven years of service.
- 633 • Tenure may be awarded before seven years of service if merited.

634  
635 b. Criteria for tenure are:

- 636 • Teaching
- 637 • Service to the profession, the department, the College, the University, or the  
638

- 639 community  
640 • Research or creative activity

641  
642 c. Performance Standards for tenure are:

- 643  
644 • Evidence of proficient performance in each of the above three areas;  
645 • Evidence indicating the promise of continuing proficient performance on all of the  
646 criteria above.

647  
648 2. Faculty Performance: Standards, Definitions, and Evidence  
649

650 The standards articulated in this section are fundamental to all faculty personnel decisions,  
651 including career reviews, and, particularly, to decisions involving promotion and tenure, which  
652 are the result of the most comprehensive evaluation of faculty performance. A candidate for  
653 promotion and tenure in the College of Education & Human Development bears primary  
654 responsibility for collecting, organizing, and presenting evidence to support the candidate's  
655 petition for advancement. Candidates should work closely with department chairpersons or  
656 their designee to address the following standards and requirements of evidence in the  
657 preparation of triptychs.

658  
659 a. Teaching

- 660  
661 (1) Teaching is the guiding of students in the acquisition of knowledge, attitudes, skills,  
662 and dispositions. Teaching is broadly understood to include all the activities in  
663 which a faculty member is engaged in efforts to instill knowledge, improve skills, or  
664 foster attitudes and dispositions in students. Therefore, multiple criteria to be used  
665 to evaluate teaching., which includes not only classroom instruction, but also field  
666 supervision and visitations, the various forms of individualized instruction, student  
667 advising and counseling, as well as developing and refining courses, programs,  
668 and curricula. It also includes the directing of master's theses, specialist  
669 professional papers, doctoral dissertations, and mentoring of students in  
670 interdisciplinary programs. In evaluating teaching effectiveness, assessment  
671 should take into account desired learning outcomes. Proficiency is based on what  
672 is typically expected at our benchmark institutions and is further defined by the  
673 Colleges and University's mission statements.

674  
675 (2) Evidence of Teaching Effectiveness

676  
677 The evaluation of teaching effectiveness should not be based on any one  
678 evaluation technique but, instead, should be based on multiple criteria including,  
679 but not limited to, such data to be submitted by the candidate as:

- 680  
681 (a) Student Evaluations: All courses in the College of Education & Human  
682 Development are evaluated by students using the standard evaluation form  
683 approved by the faculty. Candidates should include a list, by semester, for  
684 courses taught in at least the three years preceding consideration.  
685 Candidates for promotion or tenure must submit for review the standard  
686 evaluation form summary for courses taught in at least the three years  
687 preceding consideration. Candidates should include a note of explanation for  
688 courses taught but for which no student evaluations are included.  
689  
690 (b) Testimony of Former Students: Former students are in a position to assess  
691 the value and effectiveness of instruction from a stand-point that allows more  
692 mature reflection and appreciation of its relevance to their lives and careers.  
693 Therefore, letters from former students add an important dimension to the  
694 evaluation of teaching effectiveness.  
695  
696 (c) Testimony of Colleagues: The effectiveness of teaching can be competently

697 assessed by colleagues who have had the opportunity to observe the  
698 classroom performance of a candidate or to observe the candidate engaged  
699 in the many additional sorts of teaching that occur outside the classroom.  
700 Therefore, letters solicited from such colleagues provide significant  
701 information regarding the evaluation of teaching effectiveness. If a candidate  
702 has no disciplinary peers at the university, peer review should be solicited  
703 from outside the university.  
704

705 (d) Teaching Materials: Candidates should submit course syllabi and other  
706 teaching materials they have prepared to organize and communicate the  
707 knowledge in their field for the purposes of teaching. These materials should  
708 demonstrate the candidate's use of appropriate and effective pedagogies,  
709 which may include such things as cooperative learning, instructional  
710 technologies, recognition of individual differences, pedagogical papers, and  
711 so on.  
712

713 (e) Student Research Projects: Candidates may submit student research  
714 projects (articles, presentations, etc.) for which the candidate served as a  
715 mentor. If more than one faculty member served as a mentor, the candidate  
716 should clearly indicate their role in the mentoring process. Where  
717 appropriate, information relating to the publication rate and outlets of student  
718 dissertations, theses, and other research efforts of students may also be  
719 included and considered. In addition, successfully engaging students at all  
720 levels in research, service projects, and related activities can be considered  
721 as additional evidence of proficiency in teaching.  
722

723 (f) Teaching Related Grants: Candidates may submit information about funding  
724 obtained that supports the enhancement of instruction and program  
725 development. The candidate should clearly indicate what role they played in  
726 the submission and/or administration/delivery of the grant.  
727

728 (g) Additional Evidence: Candidates may submit any additional evidence of  
729 teaching effectiveness, such as analyses of student performance  
730 assessments, licensing exam outcomes, board scores, nationally-normed  
731 progress assessments, peer reviews, teaching portfolios, curriculum  
732 development, participation in teaching circles, and mentoring (students, part-  
733 time faculty, and junior faculty. Teaching load may be a factor in the  
734 evaluation of teaching effectiveness, but it may not be the primary factor.  
735

736 (h) Self-assessment: Candidates must submit a written self-assessment of their  
737 teaching.  
738

739 (3) Judgments of proficiency of teaching performance will be based upon review of all  
740 the evidence presented as well as other evidence provided for in this document.  
741

742 b. Service

743  
744 (1) Faculty engage in service activities when they make their academic or professional  
745 expertise available to others in the university, the profession, the local community,  
746 or beyond the local community. Service is the application of knowledge in one's  
747 particular discipline or field of study; service is the application of general academic  
748 expertise that results from experience as a university educator, as when one  
749 participates in faculty governance within the university or when service activities  
750 outside the university are linked to one's general academic expertise. Service may  
751 also include the development of knowledge, insight, or new intellectual  
752 understanding that results from applying one's particular academic expertise in  
753 service activities. Proficiency is based on what is typically expected at our  
754 benchmark institutions and is further defined by the College's University's mission

755 statements. Because service contributions and impact are often difficult to  
756 measure, units should encourage faculty to describe and document their  
757 contributions in service for merit and promotion considerations.  
758

759  
760 (2) Evidence of Effectiveness in Service

761  
762 (a) Testimony of People or Organizations Benefiting from Service: Letters from  
763 the beneficiaries of the candidate's service activities provide strong evidence  
764 of effectiveness.  
765

766 (b) Testimony of Colleagues: Letters should be solicited from colleagues, within  
767 the University and/or the candidate's profession, who collaborated in service  
768 projects or who were otherwise in a position to judge the effectiveness of a  
769 candidate's service activities. Examples of such colleagues are committee  
770 chairs, project directors, and other significant participants. Such testimony  
771 should assess the extent of the candidate's participation and the leadership  
772 exhibited in service activities.  
773

774 (c) Additional Evidence: Candidates may submit any additional evidence that  
775 speaks to the effectiveness of their service activities (e.g., any products  
776 resulting from service activities along with evidence regarding the nature of  
777 the candidate's contribution, or awards or other kinds of recognition related to  
778 effectiveness). Candidates should submit any written materials relating to  
779 service that provide evidence of its scholarly basis.  
780

781 (d) Service Related Grants: Candidates may submit information about funding  
782 that has been received to support scholarly service . The candidate should  
783 clearly indicate what role they played in the submission and/or administration  
784 of the grant.  
785

786 (e) Self-assessment: Candidates must submit a written self-assessment of the  
787 effectiveness of their service activities.  
788

789 (f) Judgments of proficiency of service will be based upon review of all the  
790 evidence presented as well as other evidence as provided for in this  
791 document.  
792

793 c. Research or Creative Activity

794  
795 (1) Research or Creative Activity may include empirical or theoretical research. Basic  
796 research requires no other justification than the intrinsic good of knowing and  
797 understanding. Applied research seeks to affect practice and/or policy in education  
798 and human development. It may also establish connections across the disciplines  
799 (multidisciplinary), reveal to specialists and nonspecialists alike the larger context of  
800 knowledge, and interpret the original research in one's discipline or field. Research  
801 and creative activity also undergirds effective teaching and facilitates communication  
802 of the knowledge of one's discipline or field to students. Proficiency is based on what  
803 is typically expected at our benchmark institutions and is further defined by the  
804 University's mission statement to be a premier metropolitan research university. In  
805 order to be evaluated as proficient in research or creative activity, faculty must have  
806 developed one or more lines of coherent and focused scholarship consistent with the  
807 mission of the College and University and appropriate for their rank and stage of  
808 career. It is expected, for example, that the research or creative activity will have an  
809 impact on the faculty member's field of study that is recognized at a national or  
810 international level that is also consistent with their rank and state of career (e.g.,  
811 those seeking promotion to full professor shall be expected to have a higher level of  
812 national and/or international recognition and impact than would be expected at the

813 associate professor level). Although quantity of scholarly products alone is not a sole  
814 or sufficient criteria, faculty must demonstrate a consistent level of effort that includes  
815 publication of their work in outlets consistent with the mission and goals of the  
816 university and where at least a portion of that work has been submitted for peer  
817 review, with a demonstrated record of favorable review. It is also expected that for  
818 those faculty whose scholarship is in areas where funding is appropriate that they will  
819 demonstrate a consistent record of seeking and obtaining such extramural funding to  
820 support their scholarship and related professional work. Finally, the demonstration  
821 of proficiency as a mentor to students in their development as scholars and  
822 researchers (e.g., through students' successful publication of work carried out under  
823 the candidate's supervision), although not required for tenure and/promotion can  
824 provide additional evidence of proficiency of the candidate in research and creative  
825 activity.

826  
827 (2) Evidence of Research or Creative Activity

828  
829 (a) Publications: Candidates should submit for review books or monographs  
830 published on merit and not totally subsidized by the author, articles published  
831 in professional journals of quality that utilize editorial review boards, and any  
832 other published works that have resulted from the candidate's scholarship  
833 and that provide evidence of quality.

834  
835 (b) Other Forms of Evidence: Candidates should submit any of the following:

- 836 • A complete list of unpublished papers, posters, or workshop materials  
837 presented at meetings of national associations that employ a review  
838 process;
- 839 • Funded grant proposals that represent the results of research and  
840 creativity; the candidate should clearly indicate what role they played in  
841 the submission and/or administration of the grant. For multidisciplinary  
842 grants the designation of Co-Principle investigator should carry the same  
843 weight as Principle Investigator.
- 844 • Products such as instructional aides, videos, research instruments, or  
845 computer software that have resulted from research and creativity;
- 846 • Materials and other evidence attesting to public speeches, television  
847 presentations, participation in forums, and other activities involving  
848 scholarship.
- 849 • Products related to entrepreneurial efforts including but not limited to  
850 licenses and patents.

851  
852  
853 (c) External Peer Evaluations: The quality of publications and other forms of  
854 scholarly dissemination is judged best by colleagues in the candidate's field  
855 or discipline. Therefore, external evaluation of research is required for tenure  
856 and promotion reviews. Reviews solicited from disciplinary peers are an  
857 important part of the evaluation of research and creativity.

858  
859 The Department Personnel Committee will oversee the solicitation of external  
860 evaluations of the candidate's scholarship. The Department Personnel  
861 Committee will, in consultation with the Dean and Chair, begin the process of  
862 selecting evaluators and soliciting evaluations in a timely manner. Ordinarily,  
863 evaluators will be at or above the rank to which the candidate seeks  
864 promotion. Evaluators should be recognized experts in the field, and be from  
865 programs and/or institutions similar to the University of Louisville. Evaluators  
866 are individuals who are likely to provide a fair and unbiased assessment of  
867 the candidate.

868  
869 The candidate will submit five names, along with addresses and emails, of  
870 people qualified to evaluate the candidate's materials. The Department

871 Personnel Committee, in consultation with the Dean, will submit five names,  
872 along with addresses and emails, with input from departmental faculty and  
873 the chairperson. If the candidate fails to submit a list, the evaluators will be  
874 chosen from the Department Personnel Committee's list. The Departmental  
875 Personnel Committee shall provide a short synopsis of the significant  
876 accomplishments and/or other basis for the selection of each external  
877 reviewer that demonstrates why the reviewer is prominent in the reviewer's  
878 field and why the evaluation would be appropriate given the mission and  
879 goals of the College and the University of Louisville. The candidate has the  
880 right to challenge any evaluator on the combined list of names with cause  
881 and must provide in writing the nature of any prior association or relationship  
882 with any evaluator on the list. From this mutually agreeable list, the  
883 Department Personnel Committee will select four to six external evaluators,  
884 at least half of whom must be from the candidate's list, if she/he submits a  
885 list.  
886

887 Once external evaluators are identified, the department chair will solicit four  
888 to six external reviews in writing. This letter should include a description of  
889 appropriate criteria for evaluation from the College of Education and Human  
890 Development Personnel Policies and Procedures. The letter should also  
891 request a description of the reviewer's relationship to the candidate, request  
892 a detailed evaluation of the candidate's work based on materials provided,  
893 ask whether the evaluation may or may not be read by the candidate, and  
894 request a copy of the reviewer's vita. Each reviewer will be provided with the  
895 candidate's vita and pertinent scholarly materials, including but not limited to  
896 publications. The candidate will determine what materials will be provided to  
897 external reviewers, although the Personnel Committee or Chairperson may  
898 provide advice about the selection of materials. External evaluators will be  
899 given a reasonable time period in which to complete evaluations and should  
900 they be unable to do so will be replaced by another evaluator from the  
901 mutually agreeable list of potential external evaluators. Where less than four  
902 external reviews are received within a reasonable amount of time the chair  
903 shall make reasonable efforts, in collaboration with the candidate and  
904 personnel committee, to obtain at least four reviews with at least half coming  
905 from reviewers recommended by the candidate.  
906

907 The faculty member has the right to rebut comments made by the external  
908 reviewers. Responses are to be made in writing and added to the triptych  
909 before being sent for further review by the department chair or department  
910 personnel committee. The candidate will be notified when the external  
911 reviews are received and will have ten days in which to supply a rebuttal.  
912 Modifications to the time frame can be considered if the candidate is out of  
913 town when the reviews arrive. Request for modification are to be made to  
914 the dean.  
915

- 916 (d) Additional Evidence: Candidates may submit any additional evidence that  
917 speaks to the quality of their research and creativity, such as citations,  
918 reviews, or other evaluative commentary regarding their work.  
919  
920 (e) Self-assessment:  
921 Candidates must submit a written self-assessment of the quality of their  
922 research and creativity.  
923  
924 (f) Judgments of proficiency of research and creativity will be based upon  
925 review of all the evidence presented.  
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G. Pre-Tenure Review

1. Purpose

At the mid-point of their probationary period at the University of Louisville, probationary faculty are reviewed within the College to inform them of the College's assessment of their progress toward meeting the standards for the award of tenure. Recommendations will be made to assist the faculty member in preparing for tenure and promotion.

2. Procedure

- a. Each year, the College Personnel Committee informs department chairpersons of faculty who are scheduled for pre-tenure review. The probationary faculty member bears primary responsibility for collecting, organizing, and presenting evidence relevant to the faculty member's performance in the standard areas in 2.0, above. The faculty member should work closely with the department chairperson to address the criteria for the award of tenure listed above in 3.3.F.2. A portfolio resembling a triptych should be prepared, although it need not be as extensive as the triptych required for promotion or tenure. 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.
- b. The department chairperson prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and forwards the assessment to the College Personnel Committee (copy to the faculty member).
- c. Independently of the chairperson's review, the Department Personnel Committee prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and forwards the assessment to the College Personnel Committee (copy to the faculty member).
- d. The College Personnel Committee prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and sends the assessment to the dean (copy to the faculty member and the faculty member's department chairperson).
- e. The review shall not be final until it is approved by the dean.
- f. The pre-tenure review file shall remain intact for inclusion in the tenure review file. This report will be submitted as part of the evidence for the tenure review.

H. Evaluation for Tenure

- 1. Each year, department chairpersons recommend to the dean those faculty members who must be reviewed for tenure. 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 their department chairperson to address the standards in 2.0, above, and the criteria delineated in 3.3.F.2. 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.
- 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

- 986 written assessment of the faculty member's performance and forwards the assessment to the  
987 dean via the College Personnel Committee (copy to the faculty member and the faculty  
988 member's department chairperson).  
989
- 990 4. The College Personnel Committee prepares a written assessment of the faculty member's  
991 performance and forwards the assessment to the dean (copy to the faculty member and the  
992 faculty member's department chairperson).  
993
- 994 5. After considering the recommendations and assessments of the department chairperson, the  
995 department personnel committee, and the College Personnel Committee, the dean makes a  
996 recommendation to the Provost regarding promotion and/or tenure, informing the faculty  
997 member, the department chairperson, and the College Personnel Committee of the nature of  
998 the recommendation.  
999
- 1000 6. The faculty member may add newly available material evidence for reconsideration by the  
1001 previous evaluators or rebuttals before the file is forwarded to the Provost (The College  
1002 follows the policies and procedures stated in the Redbook (see 4.2.2.H.4 and specifics  
1003 below). A file of all information and documents pertinent to the tenure evaluation shall be  
1004 compiled with the cooperation of the faculty member. Recommendations and any other  
1005 material added shall become part of the file. The faculty member may examine any  
1006 substantive material in the tenure file but shall not be informed of the identity of evaluators.  
1007 The faculty member may add newly available material evidence for reconsideration by the  
1008 previous evaluators or rebuttals before the file is forwarded to the Executive Vice President  
1009 and University Provost. The evidence in this file shall be reviewed according to the  
1010 procedures specified in the Minimum Guidelines and the unit personnel document.  
1011
- 1012 7. Except in cases of early tenure, evaluations for tenure, once originated, shall proceed as  
1013 indicated above unless the faculty member under review resigns from the university.  
1014 Evaluations for early tenure shall proceed as indicated unless the faculty member requests  
1015 withdrawal.  
1016
- 1017 8. As called for in *The Redbook* in cases involving tenure, if the recommendation of the Provost,  
1018 dean, or department chair is negative, the candidate may request a hearing before the  
1019 University Faculty Grievance Committee. This request must be delivered on or before the  
1020 tenth day following the action challenged.  
1021

### 1022 **Sec. 3.4 Promotion in Rank**

#### 1023 A. Criteria for Promotion

- 1024
- 1025
- 1026 1. Criteria for evaluation for promotion are:
- 1027 • Teaching
  - 1028 • Research and creative activity
  - 1029 • Service to the profession, the unit, the University or the community
- 1030
- 1031 2. A candidate for promotion bears primary responsibility for collecting, organizing, and  
1032 presenting evidence to support the petition for advancement. Annual Work Plans and Annual  
1033 Reviews will be included in the materials submitted for the review. Evaluation of the  
1034 candidate's materials will be guided by the work specified in the candidate's Annual Work  
1035 Plans. In the review process attention is paid both to productivity since date of last hire or  
1036 promotion (whichever is more recent) and accomplishments over one's entire career. In all  
1037 cases faculty members must supply dates for all listed activities and accomplishments,  
1038 making it possible for reviewers to identify clearly those that took place since the date of hire  
1039 or last promotion (whichever is more recent). Candidates should work closely with their  
1040 department chairperson to address the following criteria for promotion in rank:  
1041
- 1042 a. Promotion from Instructor to Assistant Professor  
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- Completion of the terminal degree;
- Completion of three years of successful professional experience;
- Evidence of proficient teaching.

b. Promotion from Assistant to Associate Professor

- 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.

c. Promotion from Associate Professor to Professor

- 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

Emeritus is an honorary title that may be conferred upon retired faculty if recommended by the dean, in consultation with department faculty and the College Personnel Committee, and approved by the President of the university.

B. Evaluation for Promotion: Process

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).
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).

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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.

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

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

**Sec. 3.5 Periodic Career Reviews**

A. Faculty with Tenure

1. Purpose

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

2. Procedures

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

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

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

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

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

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

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 first 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.

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.

- 1150 e. If the conclusion of the report is the faculty member's overall contribution has been  
1151 *satisfactory* (met the minimum requirements of the CEHD consistent with the standards  
1152 and criteria of sections 2.0 and 3.3.F.2 delineated above) during the review period, the  
1153 faculty member begins the next review period in the following academic year.
- 1154 f. If the conclusion of the report is that the faculty member's contribution has been  
1155 meritorious or above over the entire review period, this will be noted in the faculty  
1156 member's files and will be considered if supplemental salary increase money is available.  
1157 The dean shall determine the amount of any such salary increase.
- 1158 g. If the conclusion of the report is that the faculty member's contribution has been  
1159 *unsatisfactory* (did not meet the minimum standards of the CEHD), the report shall state  
1160 the deficiency (ies) that was (were) the basis for the conclusion. Within thirty calendar  
1161 days of receipt of the report, the faculty member, in consultation with his or her  
1162 department chairperson will prepare a career development plan acceptable to the dean to  
1163 remedy the deficiency (ies) in one year, unless the dean approves a longer period.
- 1164 (1) If the faculty member completes the agreed-upon one-year Career Development  
1165 Plan, the faculty member shall then have one more year to demonstrate  
1166 satisfactory performance.
- 1167 (2) The faculty member will then undergo a Career Review in the academic year  
1168 following the one year given to demonstrate satisfactory performance.
- 1169 (3) The focus of this Career Review will be on the faculty member's development plan.
- 1170 (4) If the faculty member is evaluated as satisfactory, the next five-year review period  
1171 begins on the following July 1.
- 1172 (5) If the faculty member is again evaluated as unsatisfactory, the record of the  
1173 periodic career review and the record of the Career Development Plan are  
1174 submitted to the dean for appropriate action.
- 1175 h. If the faculty member undergoing review is a department chairperson, the development  
1176 plan is prepared with and agreed to by the dean.
- 1177 i. All rights of due process and appeal found herein or in *The Redbook* shall obtain in all  
1178 reviews of faculty.

1179 B. Term faculty—Periodic Career Reviews

1180 Term faculty are to be reviewed annually and at the end of each contract term. Annual Work  
1181 Plans and Annual Reviews will be included in the materials submitted for the review. Evaluation  
1182 of the candidate's materials will be guided by the work specified in the candidate's Annual Work  
1183 Plans. Periodic Career Review of term faculty shall be the contract renewal review (section  
1184 4.2.4.B. of *The Redbook*).  
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1188 **Article 4.0 Conditions of Faculty Employment**

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1190 **Sec. 4.1 Annual Work Plan and Presence at the University**

1191 A. Annual Work Plan

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1194 1. Working with the department chair, each faculty member will prepare and submit to his or her  
1195 Chair and Chairpersons and Associate/Assistant Deans will prepare and submit to the Dean  
1196 a written Annual Work Plan no later than December 1.  
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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 February 1.
  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. Each Chairperson or Associate/Assistant Dean will prepare and submit to the Dean an Annual Work Plan no later than February 1.
  7. 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 June 1.
  8. 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.
  9. 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 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.
- C. Flexible Faculty Work Load Assignment
1. Tenured and term faculty members may negotiate with department chairpersons for assignments that differ from the basic faculty workload. 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.

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1257 4. All faculty workload assignments must be approved by the dean.  
1258

1259 D. Faculty Work Load Assignments and Faculty Reviews  
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- 1261 1. Load assignments of faculty will be kept on file in the department as documentation for  
1262 reviews of promotion and tenure, as well as for all periodic reviews (see 6.0, below).  
1263 Evaluations of faculty performance in the standard areas in 2.0, above, will be adjusted to suit  
1264 the nature of a faculty member's workload assignments during the review period. That is, for  
1265 example, if a faculty member negotiates an assignment that excludes responsibility for  
1266 service during a calendar year, the annual review will also exclude consideration of service;  
1267 or, if a faculty member negotiates a reduced assignment in any of the standard areas, the  
1268 review will be adjusted accordingly.  
1269
- 1270 2. Tenured faculty may choose during their careers to emphasize one or another of the  
1271 categories of faculty performance. Tenured faculty may submit written proposals regarding  
1272 such variable career emphasis to their department chairpersons. Proposals should specify  
1273 the standard areas to be emphasized, the standard area in which responsibility is to be  
1274 diminished or excluded, and the time period during which the variable career plan will be in  
1275 effect. When the chairperson agrees to the proposal, it shall be reviewed by the Department  
1276 Personnel Committee, and forwarded to the dean for approval. It is important to understand  
1277 that agreements reached under this provision do not supercede the criteria required for  
1278 successful review and promotion to full professor. It must also be understood, however, that  
1279 there may be some instances where, with the prior agreement of the dean and Provost, and  
1280 in ways consistent with the Redbook, that activities such as administrative duties or other  
1281 appropriate accomplishments may be considered more heavily as part of a faculty member's  
1282 case for promotion. Any agreements reached under this provision shall be made with the full  
1283 understanding of the faculty member of the potential implications for future review and  
1284 promotion and all understandings should be documented in writing.  
1285

1286 **Sec. 4.2 Compensation**  
1287

1288 The College follows the policies and procedures stated in *The Redbook* (See 4.3.2 and specifics below):  
1289 "Faculty employment contracts shall be as uniform as possible throughout the University. Each faculty  
1290 member's base salary, exclusive of supplemental pay, once established for tenured faculty or during a  
1291 contract period at the University of Louisville shall not be reduced except in a fiscal emergency or under  
1292 the most extreme circumstances."  
1293

1294 **Sec. 4.3 Work Outside the University**  
1295

1296 The College follows the policies and procedures stated in *The Redbook* (See 4.3.3 and specifics below):  
1297 "Full-time faculty of the University may carry out professional work outside the University, with or without  
1298 pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of  
1299 weeks of their employment in a given year, provided that such work is previously approved by the dean  
1300 as appropriate to the faculty member's expertise and the mission of the university and provided that such  
1301 work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities  
1302 at the University. As part of the documentation for annual review, full-time faculty shall submit a report of  
1303 this professional work outside the University under the provisions of this section."  
1304

1305 **Sec. 4.4 Paid Tutoring**  
1306

1307 The College follows the policies and procedures stated in *The Redbook* (See 4.3.4 and specifics below):  
1308 "No one shall receive any compensation for tutoring students in a course in which that person is  
1309 empowered to grant the student credit or over which any direct authority may be exercised."  
1310

1311 **Sec. 4.5 Sabbatical Leave**  
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1313 The College follows the policies and procedures stated in *The Redbook* (See 4.3.5 and specifics below):  
1314 “The sabbatical leave is recognized as a serious professional responsibility and shall be utilized for  
1315 activities that will improve the faculty member's contribution to the University's missions. A tenured faculty  
1316 member who has six contract years of full-time service at the University of Louisville may petition for a  
1317 sabbatical leave of absence for one-half contract year on full pay or for one contract year on one-half pay.  
1318 Faculty members on twelve-month appointments may receive six months of leave with full pay or twelve  
1319 months' leave with one-half pay. No more than one year of leave, as defined in Sections 4.3.6 and 4.3.7  
1320 (*The Redbook*), may be counted as years of service toward sabbatical leave. The University shall make  
1321 every effort to approve all appropriate applications. Sabbatical leave shall be granted only upon the  
1322 approval of the dean (and the Vice President for Health Affairs, where appropriate), the Provost, and the  
1323 President. No leave will be granted without the guarantee of at least one year of continued full-time  
1324 service after return from the sabbatical leave.”  
1325

#### 1326 **Sec. 4.6 Leave of Absence Without Pay**

1327  
1328 The College follows the policies and procedures stated in *The Redbook* (See 4.3.6 and specifics below):  
1329 “A faculty member may request a leave of absence without pay at any time. The dean of the unit, the  
1330 Provost, and the President must approve such leaves. Disciplinary leaves of absence without pay may  
1331 be imposed by deans with the approval of the Provost and the President.  
1332

#### 1333 **Sec. 4.7 Leave of Absence With Pay**

1334  
1335 The College follows the policies and procedures stated in *The Redbook* (See 4.3.7 and specifics below):  
1336 “A faculty member may request a leave of absence with pay at any time. The dean of the unit, the  
1337 Provost and the President must approve such leaves. Disciplinary leaves of absence with pay may be  
1338 imposed by deans with the approval of the Provost and the President.”  
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#### 1340 **Sec. 4.8 Retirement**

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1342 The College follows the policies and procedures stated in *The Redbook* (See 4.3.8 and specifics below):  
1343 “The Board of Trustees shall make available a retirement annuity plan for full-time faculty members, after  
1344 a stated minimum period of service in such capacity. Each retirement annuity contract shall be vested in  
1345 the individual participant. Faculty members will retire under the provisions and conditions set out in the  
1346 retirement plan adopted by the Board of Trustees.”  
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#### 1348 **Article 5.0 Resolution of Disagreements**

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1350 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4. for details).  
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#### 1352 **Article 6.0 Termination of Service**

1353  
1354 The College follows the policies and procedures stated in *The Redbook* (See Article 4.5 for details).  
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#### 1356 **Article 7.0 Personnel Documents**

1357  
1358 The College follows the policies and procedures stated in *The Redbook* (See Article 4.6 for details).  
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#### 1360 **Appendix 1: Grievance Procedures**

1361  
1362 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4 for details).  
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#### 1364 **Appendix 2: Termination Process**

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1366 The College follows the policies and procedures stated in *The Redbook* (See Appendix “Termination  
1367 Process” for details).  
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1369 Approved by the Faculty: 03-03-95

1370 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

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- 1372 Approved by Board of Trustees: 4-18-06; 10-14-10