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

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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*.

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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.

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 to seek additional input from faculty and/or administrators not on the committee.
- Before making a negative recommendation regarding a faculty member's tenure decision, the Personnel Committee shall invite the faculty member to meet with the Committee.
- The Personnel Committee's recommendations on all personnel matters shall be presented to the dean with a clear and concrete explanation, and a copy of this recommendation shall be provided to the faculty member concerned and the faculty member's department chairperson.

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- The Personnel Committee and its individual members shall communicate and consult with individual faculty members and with the faculty as a whole regarding personnel practices, procedures, and policies in the College.
- The Personnel Committee may invite any faculty member who is leaving the university to make a written statement (or to meet with the Committee) regarding the College's personnel practices, procedures, and policies.
- Personnel decisions in the College of Education & Human Development shall be based on evidence collected, organized, and presented by faculty members undergoing review, in cooperation with their department chairperson. It is the responsibility of each person being reviewed to provide useful information which will facilitate the decision-making process, and it is the responsibility of each person involved in the review process to protect the integrity of the review file (the triptych or other review portfolio).
- At all stages of the review process within the College of Education & Human Development, reviewers shall assess the same body of evidence.
- Once the review file has been compiled and while it is being reviewed within the department, it is in the custody of the department chairperson, who shall control access to the file.
- Once the review file has been forwarded to the dean via the College Personnel Committee, it is in the custody of the dean, who shall control access to the file while it remains in the College of Education & Human Development.
- Once the review file has been compiled, no additional evidence (as distinct from the recommendation of reviewers or rebuttals by the faculty member undergoing review as provided for in this document) shall be added to the review file unless it is made available to all reviewers.
- Recommendations of reviewers and any other material added to a candidate's review file shall become part of the file. The candidate may examine any material in the file, but the person who has custody of the file shall ensure that the candidate is not informed of the identity of evaluators.
- The faculty member undergoing review shall be informed in writing of any evidence or charge of misconduct that has been included in the review file and shall have the opportunity to respond in writing to such evidence or charge. The faculty member's written response or a written statement that the faculty member has declined to respond shall be included in the review file and shall be made available to all reviewers.
- Faculty members undergoing review may appeal decisions of the dean in accordance with procedures established in *The Redbook*.

Article 1.0 Faculty Appointments and Tenure

Sec. 1.1 Types of Appointments

The College follows the policies and procedures stated in *The Redbook* (See 4.1.1 and specifics under 4.1.2, 4.1.3, and 4.1.4):

- A. Full-time faculty appointment shall be one of three kinds: 1) nontenurable, 2) probationary, or 3) permanent tenure.
- B. Part-time faculty shall be appointed by contract to teach courses or to engage in specified instruction, research or service. Part-time faculty may be elected to the Faculty Senate and may be appointed or elected to university or unit committees as specified by contract, university or unit personnel documents.

- 117 C. Emeritus appointments should originate in the departments. A department personnel committee
118 recommendation along with the recommendation of the chair should be sent to the CEHD
119 Personnel Committee, which will in turn make their recommendation to the CEHD Dean. The
120 Dean will then forward their recommendation to the Provost. This recommendation must be
121 approved by the President and the Board of Trustees.
122

123
124 **Sec. 1.2 Nontenurable Full-Time Appointments**
125

126 A. Temporary Appointments
127

- 128 1. Temporary appointments to the various academic ranks may be made for specifically limited
129 time periods less than one year or for special purposes. In no case shall a temporary
130 appointment or a renewal thereof result in the acquisition of tenure.
131

132 B. Term Appointments
133

- 134 1. Term faculty may be appointed for a contract period not to exceed 3 years. Such
135 appointments shall not be tenurable. No term contract, continuation, or renewal shall result in
136 the acquisition of tenure or imply renewal for subsequent terms.
137
138 2. Term faculty appointments are faculty appointments that may be funded through general
139 funds, restricted funds, or clinical revenues.
140
141 3. The contract renewal review by the Dean shall serve as the periodic career review of term
142 faculty. The College's bylaws specify issues regarding participation and franchise in unit
143 governance.
144
145 4. A nontenurable faculty member shall be eligible to apply for and be appointed to a tenurable
146 position. The Provost's letter of appointment shall state whether and to what extent the new
147 appointment shall consider time served in nontenurable status as prior service (Section
148 4.1.2.B.4 of *The Redbook*).
149

150 **Sec. 1.3 Probationary Appointments**
151

152 A. Definition

153 No probationary appointment to the University shall extend beyond the period when tenure would
154 normally be granted (Section 4.2.2).
155

156 B. Instructors

157 Probationary appointments to the rank of instructor shall be for stipulated terms of one year each.
158

159 C. Assistant and Associate Professors

160 Probationary appointments to the rank of Assistant or Associate Professor shall be for stipulated
161 terms not to exceed two years on the initial appointment, nor three years for appointments made
162 thereafter.
163

164 D. Professors

165 Professors shall be awarded tenure if employed subsequent to the initial probationary
166 appointment.
167

168 **Sec. 1.4 Tenure Appointments**
169

170 A. Definition

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

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- 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.

Article 2.0 Faculty Performance: Standards and Definitions

The standards articulated in this section are fundamental to all faculty personnel decisions and particularly to decisions involving promotion and tenure, which are the result of the most comprehensive evaluation of faculty performance.

Sec 2.1 Teaching

Teaching is the guiding of University of Louisville 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, teaching 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, and doctoral dissertations.

Sec 2.2 Service

Faculty engage in service activities when they make their academic or professional expertise available to others in the university, the profession, the local community, or beyond the local community. Service is the application of knowledge in one's particular discipline or field of study; service is the application of general academic expertise that results from experience as a university educator, as when one participates in faculty governance within the university or when service activities outside of the university are linked to one's general academic expertise; service may also include the development of knowledge, insight, or new intellectual understanding that results from applying one's particular academic expertise in service activities.

Sec 2.3 Research or Creative Activity

Research or Creative Activity may include empirical or theoretical research. Basic research requires no other justification than the intrinsic good of knowing and understanding. Applied research seeks to affect practice and/or policy in education and human development. It may also establish connections across the disciplines, reveal to specialists and nonspecialists alike the larger context of knowledge, and interpret the original research in one's discipline or field. Research and creative activity also undergirds effective teaching and facilitates communication of the knowledge of one's discipline or field to students.

Sec 2.4 Collegial Collaboration

- A. Collaboration is defined broadly as working with students, colleagues, practitioners, and other persons within and outside the university to achieve the missions and objectives of the department, college, and university. Collaboration also means participating with others in the

230 development and ongoing, rigorous scrutiny of mission statements, objectives, programs, and the
231 various means of achieving academic and professional ends.

- 232
233 B. Responsible criticism within the bounds of exercising one's academic freedom shall not be
234 construed as failure to collaborate.

235
236 **Sec 2.5 Adherence to Professional Standards**

237
238 Competent performance in teaching, service, and research and creativity should not be separated from
239 appropriate professional conduct. Faculty members should conduct themselves in accordance with
240 established ethical standards in their disciplines or fields and in accordance with generally recognized
241 standards of the academic profession, such as those found in the Statement of Professional Ethics
242 promulgated by the American Association of University Professors.

243
244 **Sec 2.6 Overall Expectations**

245
246 Unless otherwise specified in this document, all personnel reviews will be defined by proficient
247 performance in the five standards articulated in *The Redbook* as well as above. All faculty will be
248 expected to perform at a proficient level with respect to each of these five standards and, in promotion
249 and tenure decisions (also see criteria in 3.0).

250
251 **Article 3.0 Faculty Personnel Reviews**

252
253 **Section 3.1 Reviews of Faculty**

254
255 In addition to initial reviews at the time of appointment, all College of Education & Human Development
256 faculty are reviewed for various purposes and at various times during their careers. Career reviews of
257 faculty include annual review, pre-tenure review, review for tenure and promotion to Associate Professor
258 (which normally occur concurrently), review for promotion to Professor, periodic career review (no longer
259 defined as post-tenure review), and other performance reviews for faculty with nontenurable term
260 appointments as provided in *The Redbook*.

261
262
263 A. Appointment Reviews (see also criteria in 1.1)

- 264
265 1. The department chairperson, after consultation with the department faculty, recommends to
266 the dean the person to be appointed as well as title and rank.
267
268 2. The dean submits the recommendation to the College Personnel Committee for its advice.
269
270 3. The dean makes a recommendation to the Provost informing the department chairperson and
271 the College Personnel Committee of its contents.

272
273 **Sec. 3.2 Annual Reviews**

274
275 Annual reviews of all faculty in the College of Education & Human Development are to be completed.

276
277 A. Criteria for Annual Review

- 278
279 1. Definition of Eligibility for Annual Review
280 Each Department Chairperson will, in collaboration with the faculty of that department and with
281 the approval of the Dean, develop the performance objectives and criteria upon which the Annual
282 Review salary increases will be determined and these performance objectives and criteria shall
283 be reflected in the work plan as required in the Redbook. Performance objectives and criteria in
284 each Department shall be based upon the department's mission statement and objectives, the
285 College of Education and Human Development's mission statement and objectives, and the
286 standards of faculty performance in sections 2.0, 3.3 and 3.4 of the College of Education and
287 Human Development's "Personnel Policies and Procedures." These standards refer both to

288 specific forms of products that can be included as well as provide parameters for consideration of
289 the quality of the work which shall be a core element of reviews.

290
291 Faculty who anticipate assignments that are so different from College norms that they require
292 different criteria should propose in writing such criteria as a part of their Annual Work Plan. When
293 this occurs the Plan must be reviewed by the Department and College Personnel Committee to
294 check for alignment and adherence to University-wide minimum guidelines and unit specific
295 criteria and approved by the Chairperson and Dean during the Annual Review process. The
296 Annual Work Plan will be included in the materials submitted for the review.

297
298 2. Purpose

- 299
300 a. The primary purpose for establishing a set of Annual Review salary increase procedures is to
301 formalize and actively encourage faculty development and productivity in teaching, service,
302 research and creativity, collegial collaboration and adherence to professional standards.
303
304 b. A secondary purpose is to recognize and reward those who meet and exceed Department
305 and College expectations.
306

307 B. Procedures

- 308
309 1. Chairpersons will meet annually with each full-time faculty member to conduct an Annual Review
310 that is based on the allocation of effort reflected in the work plan and criteria in sections 2.0, 3.3.
311 and 3.4 of the College of Education and Human Development's "Personnel Policies and
312 Procedures" document as called for above. A faculty member is defined as anyone holding a full-
313 time, probationary or tenured appointment in a department. Those individuals who are on term
314 appointments are evaluated annually to determine the quality of their performance in assigned
315 areas. Faculty performance will be evaluated as either not satisfactory, "satisfactory but needs
316 improvement", satisfactory, or the appropriate category of meritorious as described below. Part-
317 time instructors whose principal employment is in another unit or is outside the university will not
318 be subject to this review. All other part-time faculty will be reviewed in the same manner as these
319 appointments but will not receive written feedback.
320
321 2. Each full-time faculty member will prepare and submit to his or her Chair a written Annual Review
322 narrative no later than January 15. Faculty who fail to turn in annual reviews by the deadline
323 without prior written approval from their chair, the dean, or without extenuating circumstances
324 may not be eligible for a salary increase.
325
326 a. The Annual Review will include evidence of accomplishments of the preceding calendar year
327 in the areas of Teaching, Service, Research and Creative Activity, Collegial Collaboration and
328 Adherence to Professional Standards. Chairpersons will base their reviews upon the
329 materials and self-assessment provided by the faculty member and other documentation
330 placed formally in the faculty member's file consistent with the Preamble and College
331 personnel committee process and will judge faculty accomplishments by the specific
332 allocation of effort agreed to as part of the prior year's Annual Work Plan, including both the
333 attainment of the products and quality of the products as called for in that work plan as well
334 as the execution and quality of role assignments that appear in the work plan (See Article
335 4.0). The Annual Work Plan will be included in the materials submitted for the review.
336

337 The Annual Review meetings between faculty members and Chairs will commence by
338 January 15 and be completed by March 1.

- 339
340 b. Each faculty member and his or her Chairperson will discuss the Annual Review
341 materials and will examine evidence related to the specific performance indicators agreed
342 upon as part of the prior year's Annual Work Plan.
343

344 The Chairperson will prepare a written recommendation to be forwarded to the Dean. The
345 recommendation shall state whether, in the Chairperson's judgment, the faculty member's

346 performance has been: not satisfactory, satisfactory but needs improvement, satisfactory,
347 meritorious, or highly meritorious and the recommendation shall be specific regarding
348 weaknesses and deficiencies (if any), as well as suggestions (if any) for improvement and
349 possible adjustments in work load. The faculty member being reviewed shall receive a copy
350 of the Chairperson's recommendation which shall include the reminder that "the performance
351 evaluation recommended is not final until they meet with the other Chairs, the Dean and
352 her/his designated senior staff to merge the Annual Reviews of all faculty into the
353 performance categories" as is called for in part 3.2.B.2.d below.
354

355 If the faculty member disagrees with the Chairperson's written recommendation and wishes
356 to appeal, the faculty member will discuss the recommendation letter with the Chairperson in
357 a meeting scheduled within five working days after receiving the Chair's recommendation. If
358 the disagreement remains unresolved, the faculty member has the right to insert into the
359 record a written rebuttal of the Chairperson's recommendation before it is presented to the
360 Dean. The rebuttal must set forth the reason for the appeal but may not include additional
361 evidence. Corrections of errors of fact may be included. Any appeal will go forward on the
362 basis of the written Annual Review record as originally presented. Written recommendations
363 shall be placed both in the faculty member's College mailbox as well as mailed that same day
364 to the faculty member's home address as reflected in the University profile. The faculty
365 member must submit the written rebuttal not more than 10 days after such mail is postmarked
366 and available in the faculty member's college mailbox. An email shall also be sent to the
367 faculty member on the date of mailing notifying them of the availability of the written
368 recommendation in their mailbox at the College of Education and Human Development.
369

370 c. All recommendations for Annual Review salary increases and written rebuttals will be
371 forwarded to the Dean by March 15 of each year.
372

373 d. After all Annual Reviews are finalized, Chairpersons will group all faculty within their
374 Department in categories (not satisfactory, satisfactory but needs improvement, satisfactory,
375 meritorious, and highly meritorious). Then they will meet with the other Chairs, the Dean and
376 her/his designated senior staff to merge the Annual Reviews of all faculty into the categories.
377 The groupings will be college-wide in order to strive for fairness in judgment across the unit.
378

379 e. Once the Chairs and Dean pursuant to Section "d" above have completed the grouping
380 recommendations for all faculty, the Dean shall assign a final faculty rating. The Dean will
381 also independently place the Chairs, Associate and Assistant Deans in the appropriate
382 groups thereby completing the full college annual salary recommendations.
383

384 f. The Dean will discuss the faculty recommendations with the appropriate Chairperson. The
385 Dean will then notify the faculty member and the Chairperson of his or her final
386 recommendation no later than June 1.
387

388 C. Appeals Process 389

- 390 1. If the faculty member disagrees with the Dean's recommendation and wishes to appeal, the
391 faculty member must first discuss the area(s) of disagreement with the Dean in a meeting
392 scheduled within five working days after receiving the Dean's recommendation. Written
393 recommendations shall be placed both in the faculty member's College mailbox as well as mailed
394 that same day to the faculty member's home address as reflected in the University profile. The
395 faculty member must submit the written rebuttal not more than 10 days after such mail is
396 postmarked and available in the faculty member's college mailbox. An email shall also be sent to
397 the faculty member on the date of mailing notifying them of the availability of the written
398 recommendation in their mailbox at the College of Education and Human Development. If the
399 disagreement is not resolved during that meeting, the faculty member may present a written
400 appeal to the College Personnel Committee within 10 working days of the meeting with the Dean.
401 The rebuttal must set forth the reason for the appeal but may not include additional evidence.
402 Any appeal will go forward on the basis of the written Annual Review record as originally
403 presented.

404
405 Following a review of appropriate materials by the College Personnel Committee, the Committee
406 will make independent written recommendations to the Dean of support or nonsupport for each
407 appeal. Once the Dean with regard to all appeals makes a final decision, he or she will meet with
408 the College Personnel Committee to discuss any decisions that differ from the Personnel
409 Committee's recommendations.

410
411 At the conclusion of the appeals process, faculty members who have a successful appeal will
412 have their ranking recalibrated thereby finalizing the full college Annual Review faculty salary
413 rankings.

414
415 D. Chairpersons and Associate/Assistant Deans

- 416
417 1. The Dean will serve as the Chairperson's or Associate and/or Assistant Dean's supervisor in the
418 evaluation of the Annual Review. The Dean will seek the advice of Department faculty and
419 relevant others as appropriate.
420
421 2. The Annual Review of Chairpersons, Associate and Assistant Deans will be conducted by the
422 Dean and will commence on February 1 of each year.
423
424 3. The Chairperson's, Associate, or Assistant Dean's Annual Review will recognize administrative
425 as well as usual faculty responsibilities.
426
427 4. The Chairperson, Associate or Assistant Dean and the Dean will review each individual's Annual
428 Work Plan and examine the indicators of success.
429
430 5. The Dean will inform the Chairperson, Associate, or Assistant Dean by letter whether, in the
431 Dean's judgment, the Chairperson's or Associate/Assistant Dean's performance has been not
432 satisfactory, satisfactory but needs improvement, satisfactory, meritorious or highly meritorious
433 with regard to the criteria in Article 2.0, above, and with regard to the Chairperson's, Associate or
434 Assistant Dean's administrative responsibilities. The recommendation shall be specific regarding
435 weaknesses and deficiencies (if any), as well as suggestions (if any) for improvement and
436 possible adjustments in workload.
437
438 6. One copy of the Annual Review narrative will be retained by the Chairperson, Associate, or
439 Assistant Dean and one copy will be placed in the Dean's Office personnel files.
440
441 7. If the Chairperson, Associate or Assistant Dean disagrees with the Dean's written
442 recommendation and wishes to appeal, the Chairperson, Associate or Assistant Dean must first
443 discuss the area(s) of disagreement with the Dean in a meeting scheduled within five working
444 days after receiving the Dean's recommendation. If the disagreement is not resolved during that
445 meeting, the Chairperson, Associate, or Assistant Dean may present a written appeal to the
446 College Personnel Committee within 10 working days of the meeting with the Dean. The rebuttal
447 must set forth the reason for the appeal but may not include additional evidence. Any appeal will
448 go forward on the basis of the written Annual Review record as originally presented. Once the
449 Dean with regard to all appeals makes a final decision, he or she will meet with the College
450 Personnel Committee to discuss any decisions that differ from the Personnel Committee's
451 recommendations.
452
453 a. At the conclusion of the appeals process, Chairpersons, Associate or Assistant Deans who
454 have a successful appeal will have their ranking recalibrated thereby finalizing the full college
455 Annual Review salary rankings.

456
457 E. The final calculation of the salary increases will be based on the total pool of monies received for
458 the year from the central administration and the total number of Annual Review points accrued by
459 each faculty member, Chairperson or Associate/Assistant Dean.

- 460
461 1. Administrative officers and appropriate faculty bodies shall protect faculty members from

462 inequities in salary.

463
464 Those faculty members who are rated not satisfactory will receive a zero salary increase for that
465 year.

466
467 The total annual merit raise pool will then be distributed to all faculty who are rated "satisfactory
468 but needs improvement", "satisfactory", "meritorious", or "highly meritorious" as a percent of their
469 current salary through the process described below. The total annual merit raise pool shall be
470 distributed as follows: (a) When the merit pool is less than or equal to 3% or to the federal cost of
471 living adjustment, whichever is greater, 70% of the pool would be distributed to all of those
472 receiving a rating of "satisfactory but needs improvement" or higher and 20% would be used as
473 meritorious pool. The distribution of the 70% to go to all faculty receiving raises would be as a
474 percentage of their base salary (i.e., if there is a 3% raise pool and all faculty are receiving a
475 raise, each faculty member receiving a satisfactory rating would receive $.7 \times 3\%$ or a raise of
476 2.1%). Faculty receiving the rating of "satisfactory but needs improvement" shall receive .50
477 (50%) of the percentage of the raise provided to those receiving ratings of "satisfactory."
478

479 Those rated as meritorious or highly meritorious shall also receive one or two **annual review**
480 points, respectively. For Assistant Professors the final number of **annual review** points earned
481 (i.e., 1 point for a rating of meritorious or 2 points for a rating of highly meritorious) shall be
482 multiplied by 1.0 to gain a weighted total of Annual Review points to be awarded. For Associate
483 Professors, the total number of **annual review** points earned shall be multiplied by 1.2 to gain a
484 weighted total of Annual Review points to be awarded. For Full Professors, the total number of
485 **annual review** points earned will be multiplied by 1.5 to gain a weighted total of Annual Review
486 points to be awarded to the individual. The 20% of the raise pool to be used for compensating
487 annual review points, as noted above, would then be divided by the total number of weighted
488 Annual Review points awarded to arrive at the value of each annual review point. The remaining
489 10% would then be used by the Dean to provide for additional merit adjustments based on annual
490 and longer-term performance reviews (see, for example, 3.a below).
491

492 In the event that the merit pool exceeds 3% or the amount of the federal cost of living adjustment,
493 whichever is greater (base level), that amount that exceeds the base level shall be distributed in
494 keeping with the above patterns and conditions but with ratios now of 60%, 30%, and 10%.
495 Faculty receiving the rating of "satisfactory but needs improvement" shall still receive .50 (50%) of
496 the percentage of the raise provided to those receiving ratings of "satisfactory."
497

- 498 2. Appeals will be finalized and recalibrated in the total rankings. Then, the remaining highly
499 meritorious salary pool will be divided by the total number of meritorious points (the sum of all
500 weighted points awarded) to determine the monetary value of one point for that year. Finally,
501 the monetary point value will be multiplied by a given faculty member's, Chairperson's, or
502 Associate/Assistant Dean's total Annual Review points to calculate that individual's final
503 Annual Review salary increase.
504
- 505 3. The Dean will inform each faculty member, Chairperson, Associate and Assistant Dean by
506 letter of final Annual Review salary increase decisions.
507
- 508 a. The Dean's letter will include the total number of Annual Review points, the amount of any
509 salary increase and/or one-time salary adjustment for performance. Because of timing
510 issues, the Dean may send two letters, the first letter indicating the award of Annual Review
511 points and the second letter once all appeals have been resolved and monies have been
512 calculated, thus finalizing the amount of salary increase.
513
- 514 b. The Dean's letter will include the reasons for the Dean's decision.
515
- 516 c. If the performance of a faculty member, Chairperson, Associate or Assistant Dean is rated not
517 satisfactory, the Dean's letter will include the reasons for the rating and specific suggestions
518 for improving performance. The Provost must approve Annual Review salary decisions
519 involving not satisfactory performance ratings as these are ratings where the faculty member

- 520 is to receive no increase.
521
522 d. At the completion of the Annual Review process, a file shall be updated in the Department for
523 each faculty member and in the Dean's Office for each Chairperson, Associate and Assistant
524 Dean. The file shall contain the following items:
525
526 • The Chairperson's recommendation regarding Annual Review salary increases, which
527 includes evaluations of not satisfactory, satisfactory, meritorious, or highly meritorious);
528 • The Dean's recommendation regarding Annual Review points and Annual Review salary
529 increases;
530 • A copy of the Annual Review narrative.
531
532 e. The annual file described above (in 3.2.E.2.d), shall become part of the record to be used
533 in subsequent reviews of faculty members and Department Chairpersons, Associate, and
534 Assistant Deans.
535
536 4. By July 1 of each year, the Dean will provide an annual written report to the faculty and the
537 Provost. The report will contain:
538
539 • The number of not satisfactory, satisfactory but needs improvement, satisfactory,
540 meritorious, or highly meritorious performance ratings;
541 • A summary of the process used to arrive at such salary increases, including the results of
542 any appeals reviewed by the Dean and the Personnel Committee;
543 • A short review of the impact of activities, the levels of quality and the indicators of
544 effectiveness deemed by Chairpersons and the Dean to warrant meritorious and highly
545 meritorious consideration;
546 • A frequency distribution of the percentage salary increases received by all faculty
547 members.
548

549 **Sec. 3.3 Tenure**

- 550
551 A. Time Required
552 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2): "All
553 probationary faculty who have had seven years of service counted as in a tenurable faculty
554 position, if reemployed full-time, shall be granted tenure."
555
556 B. Leaves of Absence
557 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 B): "One
558 year spent on an officially approved leave of absence may be counted toward the seven years of
559 full-time service necessary for tenure. Any leave granted during the probationary period must
560 carry with it a stipulation in writing as to whether the leave counts toward tenure."
561
562 C. Extension of Probationary Period
563 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 C.): "A faculty
564 member who faces extenuating circumstances that do not require a leave of absence but result in
565 a significant reduction in ability to perform normal duties may request an extension of the
566 probationary period for no less than six months and no more than one year. Such extensions
567 must be requested and approved before the end of the fifth year of the probationary period and
568 must have documentation satisfactory to the Provost."
569
570 D. Prior Service
571 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 D.): "Previous
572 full-time service with the rank of instructor or higher or comparable status in institutions of higher
573 learning may be counted toward the acquisition of tenure."
574
575 E. Early Tenure
576 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 E.): "1.
577 Notwithstanding anything in *The Redbook* to the contrary, tenure may be granted at the time of

578 initial appointment or in less than seven years when such action is warranted. 2. A faculty
579 member may request only one evaluation for early tenure. 3. Evaluation for early tenure, once
580 originated, shall proceed as indicated in Section 4.2.2.H. unless the faculty member under review
581 requests its withdrawal.”

582
583 F. Evidence to be Submitted for Tenure

584
585 1. General Statement of Criteria

586 The award of tenure is the appointment of a faculty member with the right to continuous full-
587 time appointment without reduction in academic rank until retirement. Therefore, the tenure
588 decision is the most important of all personnel decisions and will be made with particular
589 care. A candidate for tenure bears primary responsibility for collecting, organizing, and
590 presenting evidence to support the petition for advancement. Annual Work Plans and Annual
591 Reviews will be included in the materials submitted for the review. Evaluation of the
592 candidate's materials will be guided by the work specified in the candidate's Annual Work
593 Plans.

594
595 a. Candidates should work closely with department chairpersons to address the following
596 criteria for the award of tenure:

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

601
602
603 b. Criteria for tenure are:

- 604 • Teaching
- 605 • Service to the profession, the department, the College, the University, or the
606 community
- 607 • Research or creative activity
- 608 • Collaboration with colleagues and students
- 609 • Adherence to professional standards

610
611
612 c. Performance Standards for tenure are:

- 613 • Evidence of proficient performance in each of the above five areas;
- 614 • Evidence indicating the promise of continuing proficient performance on all of the
615 criteria above.

616
617
618 2. Faculty Performance: Standards, Definitions, and Evidence

619
620 The standards articulated in this section are fundamental to all faculty personnel decisions,
621 including career reviews, and, particularly, to decisions involving promotion and tenure, which
622 are the result of the most comprehensive evaluation of faculty performance. A candidate for
623 promotion and tenure in the College of Education & Human Development bears primary
624 responsibility for collecting, organizing, and presenting evidence to support the candidate's
625 petition for advancement. Candidates should work closely with department chairpersons or
626 their designee to address the following standards and requirements of evidence in the
627 preparation of triptychs.

628
629 a. Teaching

- 630 (1) Teaching is the guiding of University of Louisville students in the acquisition of
631 knowledge, attitudes, skills, and dispositions. Teaching is broadly understood to
632 include all the activities in which a faculty member is engaged in efforts to instill
633 knowledge, improve skills, or foster attitudes and dispositions in students.
634 Therefore, teaching includes not only classroom instruction, but also field
635

636 supervision and visitations, the various forms of individualized instruction, student
637 advising and counseling, as well as developing and refining courses, programs,
638 and curricula. It also includes the directing of master's theses, specialist
639 professional papers, and doctoral dissertations. Proficiency is based on what is
640 typically expected at our benchmark institutions and is further defined by the
641 Colleges and University's mission statements.
642

643 (2) Evidence of Teaching Effectiveness
644

645 The evaluation of teaching effectiveness should not be based on any one
646 evaluation technique but, instead, should be a more holistic approach, including,
647 but not limited to, such data to be submitted by the candidate as:
648

- 649 (a) Student Evaluations: All courses in the College of Education & Human
650 Development are evaluated by students using the standard evaluation form
651 approved by the faculty. Candidates should include a list, by semester, for
652 courses taught in at least the three years preceding consideration.
653 Candidates for promotion or tenure must submit for review the standard
654 evaluation form summary for courses taught in at least the three years
655 preceding consideration. Candidates should include a note of explanation for
656 courses taught but for which no student evaluations are included.
657
- 658 (b) Testimony of Former Students: Former students are in a position to assess
659 the value and effectiveness of instruction from a stand-point that allows more
660 mature reflection and appreciation of its relevance to their lives and careers.
661 Therefore, letters from former students add an important dimension to the
662 evaluation of teaching effectiveness.
663
- 664 (c) Testimony of Colleagues: The effectiveness of teaching can be competently
665 assessed by colleagues who have had the opportunity to observe the
666 classroom performance of a candidate or to observe the candidate engaged
667 in the many additional sorts of teaching that occur outside the classroom.
668 Therefore, letters solicited from such colleagues provide significant
669 information regarding the evaluation of teaching effectiveness. If a candidate
670 has no disciplinary peers at the university, peer review should be solicited
671 from outside the university.
672
- 673 (d) Teaching Materials: Candidates should submit course syllabi and other
674 teaching materials they have prepared to organize and communicate the
675 knowledge in their field for the purposes of teaching. These materials should
676 demonstrate the candidate's use of appropriate and effective pedagogies,
677 which may include such things as cooperative learning, instructional
678 technologies, recognition of individual differences, and so on.
679
- 680 (e) Student Research Projects: Candidates may submit student research
681 projects (articles, presentations, etc.) for which the candidate served as a
682 mentor. If more than one faculty member served as a mentor, the candidate
683 should clearly indicate their role in the mentoring process. Where
684 appropriate, information relating to the publication rate and outlets of student
685 dissertations, theses, and other research efforts of students may also be
686 included and considered. In addition, successfully engaging students at all
687 levels in research, service projects, and related activities can be considered
688 as additional evidence of proficiency in teaching.
689
- 690 (f) Teaching Related Grants: Candidates may submit information about funding
691 obtained that supports the enhancement of instruction and program
692 development. The candidate should clearly indicate what role they played in
693 the submission and/or administration/delivery of the grant.

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- (g) Additional Evidence: Candidates may submit any additional evidence of teaching effectiveness. Teaching load may be a factor in the evaluation of teaching effectiveness, but it may not be the primary factor.
 - (h) Self-assessment: Candidates must submit a written self-assessment of their teaching.
- (3) Judgments of proficiency of teaching performance will be based upon review of all the evidence presented as well as other evidence provided for in this document.
- b. Service
- (1) Faculty engage in service activities when they make their academic or professional expertise available to others in the university, the profession, the local community, or beyond the local community. Service is the application of knowledge in one's particular discipline or field of study; service is the application of general academic expertise that results from experience as a university educator, as when one participates in faculty governance within the university or when service activities outside the university are linked to one's general academic expertise. Service may also include the development of knowledge, insight, or new intellectual understanding that results from applying one's particular academic expertise in service activities. Proficiency is based on what is typically expected at our benchmark institutions and is further defined by the College's University's mission statements.
 - (2) Evidence of Effectiveness in Service
 - (a) Testimony of People or Organizations Benefiting from Service: Letters from the beneficiaries of the candidate's service activities provide strong evidence of effectiveness.
 - (b) Testimony of Colleagues: Letters should be solicited from colleagues, within the University and/or the candidate's profession, who collaborated in service projects or who were otherwise in a position to judge the effectiveness of a candidate's service activities. Examples of such colleagues are committee chairs, project directors, and other significant participants. Such testimony should assess the extent of the candidate's participation and the leadership exhibited in service activities.
 - (c) Additional Evidence: Candidates may submit any additional evidence that speaks to the effectiveness of their service activities (e.g., any products resulting from service activities along with evidence regarding the nature of the candidate's contribution, or awards or other kinds of recognition related to effectiveness). Candidates should submit any written materials relating to service that provide evidence of its scholarly basis.
 - (d) Service Related Grants: Candidates may submit information about funding that has been received to support scholarly service . The candidate should clearly indicate what role they played in the submission and/or administration of the grant.
 - (e) Self-assessment: Candidates must submit a written self-assessment of the effectiveness of their service activities.
 - (f) Judgments of proficiency of service will be based upon review of all the evidence presented as well as other evidence as provided for in this

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c. Research or Creative Activity

(1) Research or Creative Activity may include empirical or theoretical research. Basic research requires no other justification than the intrinsic good of knowing and understanding. Applied research seeks to affect practice and/or policy in education and human development. It may also establish connections across the disciplines, reveal to specialists and nonspecialists alike the larger context of knowledge, and interpret the original research in one's discipline or field. Research and creative activity also undergirds effective teaching and facilitates communication of the knowledge of one's discipline or field to students. Proficiency is based on what is typically expected at our benchmark institutions and is further defined by the University's mission statement to be a premier metropolitan research university. In order to be evaluated as proficient in research or creative activity, faculty must have developed one or more lines of coherent and focused scholarship consistent with the mission of the College and University and appropriate for their rank and stage of career. It is expected, for example, that the research or creative activity will have an impact on the faculty member's field of study that is recognized at a national or international level that is also consistent with their rank and state of career (e.g., those seeking promotion to full professor shall be expected to have a higher level of national and/or international recognition and impact than would be expected at the associate professor level). Although quantity of scholarly products alone is not a sole or sufficient criteria, faculty must demonstrate a consistent level of effort that includes publication of their work in outlets consistent with the mission and goals of the university and where at least a portion of that work has been submitted for peer review, with a demonstrated record of favorable review. It is also expected that for those faculty whose scholarship is in areas where funding is appropriate that they will demonstrate a consistent record of seeking and obtaining such extramural funding to support their scholarship and related professional work. Finally, the demonstration of proficiency as a mentor to students in their development as scholars and researchers (e.g., through students' successful publication of work carried out under the candidate's supervision), although not required for tenure and/promotion can provide additional evidence of proficiency of the candidate in research and creative activity.

(2) Evidence of Research or Creative Activity

(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, or workshop materials presented at meetings of national associations 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).
- 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.

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

The Department Personnel Committee will oversee the solicitation of external evaluations of the candidate's scholarship. 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. 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.

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

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

The faculty member has the right to rebut comments made by the external reviewers. Responses are to be made in writing and added to the triptych before being sent for further review by the department chair or department personnel committee. The candidate will be notified when the external

868 reviews are received and will have ten days in which to supply a rebuttal.
869 Modifications to the time frame can be considered if the candidate is out of
870 town when the reviews arrive. Request for modification are to be made to
871 the dean.
872

873 (d) Additional Evidence: Candidates may submit any additional evidence that
874 speaks to the quality of their research and creativity, such as citations,
875 reviews, or other evaluative commentary regarding their work.
876

877 (e) Self-assessment:
878 Candidates must submit a written self-assessment of the quality of their
879 research and creativity.
880

881 (f) Judgments of proficiency of research and creativity will be based upon
882 review of all the evidence presented.
883

884 d. Collegial Collaboration

885
886 (1) Collaboration is defined broadly as working with students, colleagues, practitioners,
887 and other persons within and outside the university to achieve the missions and
888 objectives of the department, college, and university. Faculty are expected to
889 contribute to the department and college's collegial work, including attendance and
890 participation at regular meetings of the units, their subcommittees, the sharing of
891 the work of the department and college, and the taking of leadership roles when
892 appropriate. Collaboration also means participating with others in the development
893 and ongoing, rigorous scrutiny of mission statements, objectives, programs, and
894 the various means of achieving academic and professional ends. Candidates
895 should include evidence that demonstrates collegial collaboration in the areas of
896 teaching, service and research.
897

898 (2) Responsible criticism within the bounds of exercising one's academic freedom shall
899 not be construed as failure to collaborate.
900

901 e. Adherence to Professional Standards: Competent performance in teaching, service, and
902 research should not be separated from appropriate professional conduct. Faculty
903 members should conduct themselves in accordance with established ethical standards in
904 their disciplines or fields and in accordance with generally recognized standards of the
905 academic profession, such as those found in the *Statement of Professional Ethics*
906 promulgated by the American Association of University Professors.
907

908 G. Pre-Tenure Review

909 1. Purpose

910
911 At the mid-point of their probationary period at the University of Louisville, probationary
912 faculty are reviewed within the College to inform them of the College's assessment of their
913 progress toward meeting the standards for the award of tenure. Recommendations will be
914 made to assist the faculty member in preparing for tenure and promotion.
915
916

917 2. Procedure

918
919 a. Each year, the College Personnel Committee informs department chairpersons of faculty
920 who are scheduled for pre-tenure review. The probationary faculty member bears primary
921 responsibility for collecting, organizing, and presenting evidence relevant to the faculty
922 member's performance in the standard areas in 2.0, above. The faculty member should
923 work closely with the department chairperson to address the criteria for the award of
924 tenure listed above in 3.3.F.2. A portfolio resembling a triptych should be prepared,
925 although it need not be as extensive as the triptych required for promotion or tenure.

- 926 Annual Work Plans and Annual Reviews will be included in the materials submitted for
927 the review. Evaluation of the candidate's materials will be guided by the work specified in
928 the candidate's Annual Work Plans.
929
- 930 b. The department chairperson prepares a written assessment of the probationary faculty
931 member's progress toward meeting tenure standards and forwards the assessment to the
932 College Personnel Committee (copy to the faculty member).
933
- 934 c. Independently of the chairperson's review, the Department Personnel Committee
935 prepares a written assessment of the probationary faculty member's progress toward
936 meeting tenure standards and forwards the assessment to the College Personnel
937 Committee (copy to the faculty member).
938
- 939 d. The College Personnel Committee prepares a written assessment of the probationary
940 faculty member's progress toward meeting tenure standards and sends the assessment
941 to the dean (copy to the faculty member and the faculty member's department
942 chairperson).
943
- 944 e. The review shall not be final until it is approved by the dean.
945
- 946 f. The pre-tenure review file shall remain intact for inclusion in the tenure review file. This
947 report will be submitted as part of the evidence for the tenure review.
948

949 H. Evaluation for Tenure

- 950
- 951 1. Each year, department chairpersons recommend to the dean those faculty members who
952 must be reviewed for tenure. Faculty members who are to be reviewed bear primary
953 responsibility for collecting, organizing, and presenting evidence to support the
954 recommendation; they should work closely with their department chairperson to address the
955 standards in 2.0, above, and the criteria delineated in 3.3.F.2. Annual Work Plans and
956 Annual Reviews will be included in the materials submitted for the review. Evaluation of the
957 candidate's materials will be guided by the work specified in the candidate's Annual Work
958 Plans.
959
- 960 2. The department chairperson prepares a written assessment of the faculty member's
961 performance and forwards the assessment to the dean via the College Personnel Committee
962 (copy to the faculty member).
963
- 964 3. Independently of the chairperson's review, the department personnel committee prepares a
965 written assessment of the faculty member's performance and forwards the assessment to the
966 dean via the College Personnel Committee (copy to the faculty member and the faculty
967 member's department chairperson).
968
- 969 4. The College Personnel Committee prepares a written assessment of the faculty member's
970 performance and forwards the assessment to the dean (copy to the faculty member and the
971 faculty member's department chairperson).
972
- 973 5. After considering the recommendations and assessments of the department chairperson, the
974 department personnel committee, and the College Personnel Committee, the dean makes a
975 recommendation to the Provost regarding promotion and/or tenure, informing the faculty
976 member, the department chairperson, and the College Personnel Committee of the nature of
977 the recommendation. When a faculty member is a member of the graduate faculty, the Dean
978 of the Graduate School shall receive the case with the unit recommendation and will form a
979 recommendation to be included in subsequent levels of review.
980
- 981 6. The faculty member may add newly available material evidence for reconsideration by the
982 previous evaluators or rebuttals before the file is forwarded to the Provost.
983

- 984 7. Except in cases of early tenure, evaluations for tenure, once originated, shall proceed as
985 indicated above unless the faculty member under review resigns from the university.
986 Evaluations for early tenure shall proceed as indicated unless the faculty member requests
987 withdrawal.
988
- 989 8. As called for in *The Redbook* in cases involving tenure, if the recommendation of the Provost,
990 dean, or department chair is negative, the candidate may request a hearing before the
991 University Faculty Grievance Committee. This request must be delivered on or before the
992 tenth day following the action challenged.
993

994 **Sec. 3.4 Promotion in Rank**

995 A. Criteria for Promotion

- 996 1. Criteria for evaluation for promotion are:
997
- 998 • Teaching
 - 1000 • Research and creative activity
 - 1001 • Service to the profession, the unit, the University or the community
 - 1002 • Collaboration with colleagues and students
 - 1003 • Adherence to professional standards
- 1004
- 1005 2. A candidate for promotion bears primary responsibility for collecting, organizing, and
1006 presenting evidence to support the petition for advancement. Annual Work Plans and Annual
1007 Reviews will be included in the materials submitted for the review. Evaluation of the
1008 candidate's materials will be guided by the work specified in the candidate's Annual Work
1009 Plans. In the review process attention is paid both to productivity since date of last hire or
1010 promotion (whichever is more recent) and accomplishments over one's entire career. In all
1011 cases faculty members must supply dates for all listed activities and accomplishments,
1012 making it possible for reviewers to identify clearly those that took place since the date of hire
1013 or last promotion (whichever is more recent). Candidates should work closely with their
1014 department chairperson to address the following criteria for promotion in rank:
1015
- 1016 a. Promotion from Instructor to Assistant Professor
- 1018 • Completion of the terminal degree;
 - 1019 • Completion of three years of successful professional experience;
 - 1020 • Evidence of proficient teaching.
- 1021
- 1022 b. Promotion from Assistant to Associate Professor
- 1024 • Normally, at least four years in rank as an Assistant Professor, two of which must be
1025 at the University of Louisville;
 - 1026 • Evidence of proficient performance in each of the five standard areas (teaching,
1027 service, research and creativity, collegial collaboration, adherence to professional
1028 standards);
 - 1029 • Evidence of continuing promise of proficient performance in the five areas.
- 1030
- 1031 c. Promotion from Associate Professor to Professor
- 1033 • Normally, at least four years in rank as an Associate Professor, two of which must be
1034 at the University of Louisville;
 - 1035 • At least eight years of college or university experience at the rank of Assistant
1036 Professor or above since earning a terminal degree;
 - 1037 • Evidence of proficient performance in each of the five standard areas (teaching,
1038 service, research and creativity, collegial collaboration, adherence to professional
1039 standards);
 - 1040 • Evidence of continuing promise of proficient performance in the five areas.

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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.
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.

- 1098 2. Procedures
- 1099 a. Unless otherwise specified below, all faculty holding tenured appointments in the College
1100 of Education and Human Development shall undergo periodic career review during March
1101 and April after every fifth year of service as a tenured faculty member.
- 1102 (1) When deans, associate or assistant deans, and other full-time administrators who
1103 hold tenured faculty appointments vacate their administrative positions, their
1104 periodic career review period shall begin when they assume full-time faculty
1105 positions.
- 1106 (2) If the review period ends during a sabbatical year (or other leave year), the periodic
1107 career review shall be deferred until the following academic year.
- 1108 (3) If a tenured faculty member is promoted, the promotion review shall satisfy the
1109 requirement of periodic career review, and the date of promotion shall mark the
1110 beginning of the next five-year review period.
- 1111 (4) If a tenured faculty member is being considered for promotion during a review year
1112 but does not achieve it, the periodic career review shall take place.
- 1113 b. By May 1 of the year prior to the review year, the faculty member will be notified that he or
1114 she will have a periodic review in the coming academic year.
- 1115 c. The dean's office will provide to the personnel committee copies of the faculty member's
1116 Annual Reviews and Annual Work Plans for the period since the last review no later than
1117 the first Friday of the review semester. The faculty member may add any other
1118 documents he or she deems appropriate. Only these documents will be reviewed. The
1119 candidate may request extramural review of his or her research. Otherwise, extramural
1120 review will not be part of the process.
- 1121 d. The personnel committee shall examine the file and, prior to the end of the eighth week of
1122 the semester, shall issue a report to the dean with copies to faculty member and his or
1123 her chair.
- 1124 e. If the conclusion of the report is the faculty member's overall contribution has been
1125 *satisfactory* (met the minimum requirements of the CEHD consistent with the standards
1126 and criteria of sections 2.0 and 3.3.F.2 delineated above) during the review period, the
1127 faculty member begins the next review period in the following academic year.
- 1128 f. If the conclusion of the report is that the faculty member's contribution has been
1129 meritorious or above over the entire review period, this will be noted in the faculty
1130 member's files and will be considered if supplemental salary increase money is available.
1131 The dean shall determine the amount of any such salary increase.
- 1132 g. If the conclusion of the report is that the faculty member's contribution has been
1133 *nonsatisfactory* (did not meet the minimum standards of the CEHD), the report shall state
1134 the deficiency (ies) that was (were) the basis for the conclusion. Within thirty calendar
1135 days of receipt of the report, the faculty member, in consultation with his or her
1136 department chairperson will prepare a career development plan acceptable to the dean to
1137 remedy the deficiency (ies) in one year, unless the dean approves a longer period.
- 1138 (1) If the faculty member completes the agreed-upon one-year Career Development
1139 Plan, the faculty member shall then have one more year to demonstrate
1140 satisfactory performance.

- 1141 (2) The faculty member will then undergo a Career Review in the academic year
1142 following the one year given to demonstrate satisfactory performance.
- 1143 (3) The focus of this Career Review will be on the faculty member's development plan.
- 1144 (4) If the faculty member is evaluated as satisfactory, the next five-year review period
1145 begins on the following July 1.
- 1146 (5) If the faculty member is again evaluated as unsatisfactory, the record of the
1147 periodic career review and the record of the Career Development Plan are
1148 submitted to the dean for appropriate action.
- 1149 h. If the faculty member undergoing review is a department chairperson, the development
1150 plan is prepared with and agreed to by the dean.
- 1151 i. All rights of due process and appeal found herein or in *The Redbook* shall obtain in all
1152 reviews of faculty.

1153 B. Term faculty—Periodic Career Reviews
1154

1155 Term faculty are to be reviewed annually and at the end of each contract term. Annual Work
1156 Plans and Annual Reviews will be included in the materials submitted for the review. Evaluation
1157 of the candidate's materials will be guided by the work specified in the candidate's Annual Work
1158 Plans. Periodic Career Review of term faculty shall be the contract renewal review (section
1159 4.2.4.B. of *The Redbook*).
1160

1161
1162 **Article 4.0 Conditions of Faculty Employment**
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1164 **Sec. 4.1 Annual Work Plan and Presence at the University**
1165

1166 A. Annual Work Plan
1167

- 1168 1. Working with the department chair, each faculty member will prepare and submit to his or her
1169 Chair and Chairpersons and Associate/Assistant Deans will prepare and submit to the Dean
1170 a written Annual Work Plan no later than December 1.
1171
- 1172 2. The Annual Work Plan should include prioritized professional goals and objectives for the
1173 forthcoming year in the areas of Teaching, Service, Research and Creative Activity, Collegial
1174 Collaboration and Adherence to Professional Standards.
1175
- 1176 3. The Annual Work Plan for the forthcoming year will include intended contributions related to
1177 the mission of the department, college and university in terms of the performance objectives
1178 and criteria described in 2.0 above and further articulated in 3.0 above.
1179
- 1180 4. The goals and objectives for the forthcoming year will be agreed upon and the Annual Work
1181 Plan will be dated and signed by the faculty member and Chairperson. In the event that the
1182 faculty member and Chairperson cannot reach agreement the faculty member may appeal
1183 the Chairperson's requirements of the faculty member, in writing and with a detailed rationale,
1184 to the Dean no later than February 1.
1185
- 1186 5. One copy of both the Annual Review narrative and the Annual Work Plan will be retained by
1187 the faculty member, one copy will be placed in the department's personnel file, and one copy
1188 in the Dean's office.
1189
- 1190 6. Each Chairperson or Associate/Assistant Dean will prepare and submit to the Dean an
1191 Annual Work Plan no later than February 1.
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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 five 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, 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), shall be made. 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

1251 Personnel Committee, and forwarded to the dean for approval. It is important to understand
1252 that agreements reached under this provision do not supercede the criteria required for
1253 successful review and promotion to full professor. It must also be understood, however, that
1254 there may be some instances where, with the prior agreement of the dean and Provost, and
1255 in ways consistent with the Redbook, that activities such as administrative duties or other
1256 appropriate accomplishments may be considered more heavily as part of a faculty member's
1257 case for promotion. Any agreements reached under this provision shall be made will the full
1258 understanding of the faculty member of the potential implications for future review and
1259 promotion and all understandings should be documented in writing.
1260

1261 **Sec. 4.2 Compensation**

1262
1263 The College follows the policies and procedures stated in *The Redbook* (See 4.3.2 and specifics below):
1264 "Faculty employment contracts shall be as uniform as possible throughout the University. Each faculty
1265 member's base salary, exclusive of supplemental pay, once established for tenured faculty or during a
1266 contract period at the University of Louisville shall not be reduced except in a fiscal emergency or under
1267 the most extreme circumstances."
1268

1269 **Sec. 4.3 Work Outside the University**

1270
1271 The College follows the policies and procedures stated in *The Redbook* (See 4.3.3 and specifics below):
1272 "Full-time faculty of the University may carry out professional work outside the University, with or without
1273 pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of
1274 weeks of their employment in a given year, provided that such work is previously approved by the dean
1275 as appropriate to the faculty member's expertise and the mission of the university and provided that such
1276 work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities
1277 at the University. As part of the documentation for annual review, full-time faculty shall submit a report of
1278 this professional work outside the University under the provisions of this section."
1279

1280 **Sec. 4.4 Paid Tutoring**

1281
1282 The College follows the policies and procedures stated in *The Redbook* (See 4.3.4 and specifics below):
1283 "No one shall receive any compensation for tutoring students in a course in which that person is
1284 empowered to grant the student credit or over which any direct authority may be exercised."
1285

1286 **Sec. 4.5 Sabbatical Leave**

1287
1288 The College follows the policies and procedures stated in *The Redbook* (See 4.3.5 and specifics below):
1289 "The sabbatical leave is recognized as a serious professional responsibility and shall be utilized for
1290 activities that will improve the faculty member's contribution to the University's missions. A tenured faculty
1291 member who has six contract years of full-time service at the University of Louisville may petition for a
1292 sabbatical leave of absence for one-half contract year on full pay or for one contract year on one-half pay.
1293 Faculty members on twelve-month appointments may receive six months of leave with full pay or twelve
1294 months' leave with one-half pay. No more than one year of leave, as defined in Sections 4.3.6 and 4.3.7
1295 (*The Redbook*), may be counted as years of service toward sabbatical leave. The University shall make
1296 every effort to approve all appropriate applications. Sabbatical leave shall be granted only upon the
1297 approval of the dean (and the Vice President for Health Affairs, where appropriate), the Provost, and the
1298 President. No leave will be granted without the guarantee of at least one year of continued full-time
1299 service after return from the sabbatical leave."
1300

1301 **Sec. 4.6 Leave of Absence Without Pay**

1302
1303 The College follows the policies and procedures stated in *The Redbook* (See 4.3.6 and specifics below):
1304 "A faculty member may request a leave of absence without pay at any time. The dean of the unit, the
1305 Provost, and the President must approve such leaves. Disciplinary leaves of absence without pay may
1306 be imposed by deans with the approval of the Provost and the President.
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1308 **Sec. 4.7 Leave of Absence With Pay**
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1310 The College follows the policies and procedures stated in *The Redbook* (See 4.3.7 and specifics below):
1311 "A faculty member may request a leave of absence with pay at any time. The dean of the unit, the
1312 Provost and the President must approve such leaves. Disciplinary leaves of absence with pay may be
1313 imposed by deans with the approval of the Provost and the President."
1314

1315 **Sec. 4.8 Retirement**
1316

1317 The College follows the policies and procedures stated in *The Redbook* (See 4.3.8 and specifics below):
1318 "The Board of Trustees shall make available a retirement annuity plan for full-time faculty members, after
1319 a stated minimum period of service in such capacity. Each retirement annuity contract shall be vested in
1320 the individual participant. Faculty members will retire under the provisions and conditions set out in the
1321 retirement plan adopted by the Board of Trustees."
1322

1323 **Article 5.0 Resolution of Disagreements**
1324

1325 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4. for details).
1326

1327 **Article 6.0 Termination of Service**
1328

1329 The College follows the policies and procedures stated in *The Redbook* (See Article 4.5 for details).
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1331 **Article 7.0 Personnel Documents**
1332

1333 The College follows the policies and procedures stated in *The Redbook* (See Article 4.6 for details).
1334

1335 **Appendix 1: Grievance Procedures**
1336

1337 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4 for details).
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1339 **Appendix 2: Termination Process**
1340

1341 The College follows the policies and procedures stated in *The Redbook* (See Appendix "Termination
1342 Process" for details).
1343

1344 Approved by the Faculty: 03-03-95

1345 Amended by the Faculty: 08-24-95; 09-28-95; 02-26-02; 03-04-05; 04-29-05

1346 Approved by Faculty Senate: 01-11-06

1347 Approved by Board of Trustees: 4/18/06