



**Schedule of Meetings
July 29 -30, 2009**

Galt House Hotel – Louisville, Kentucky

July 29, 2009, Wednesday

- 10:00 a.m.- Orientation for New Board Members
10:45 a.m. (*Oleka, Cosby, Lynn, and Wood*)
Willow Room, 3rd Floor, Rivue Tower
- Break
- 11:00 a.m.- Compensation Committee
12:15 a.m. Performance review of 2008-09 Goals and Proposal for 2009-10 Goals
(*George, Blue, Fryrear, Handmaker, Laning, Vacancy, and Porter, ex officio*)
Willow Room, 3rd Floor, Rivue Tower
- 12:15 p.m.- Special Meeting of the Board of Trustees
1:00 p.m. (President's Evaluation) Includes lunch
Willow Room, 3rd Floor, Rivue Tower
- 1:00 p.m.- Nominating Committee, ULRF (*Fryrear, Handmaker, Jackson, Minnifield*)
3:30 p.m. Annual Meeting, UofL Research Foundation, Inc.
Regular Meeting, Board of Trustees
Willow Room, 3rd Floor, Rivue Tower
- Free time for Board members to review e-mail, check in with offices,
return phone calls, etc.
- 5:30 p.m. Dinner in the Rivue Restaurant, 25th Floor of the Rivue Tower
7:00 p.m.

July 30, 2009, Thursday

- 7:30 a.m.- Buffet Breakfast
8:00 a.m. Waterford Room, 25th Floor, Rivue Tower
Presentation on the Downtown Arena and Preliminary Seating
In Arena (Jim Host, Dan Ulmer, and Tom Jurich)
- 8:00 a.m.- Retreat with Board of Overseers and Deans
11:00 a.m. Waterford Room, 25th Floor, Rivue Tower
- 11:00 a.m. – Personnel Committee, Board of Trustees (*Handmaker, Fryrear, Hughes,
Laning, Minnifield*)
Special Meeting, Board of Trustees
11:45 a.m. Rivue Restaurant, 25th Floor, Rivue Tower

COMPENSATION COMMITTEE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

11:00 a.m., July 29, 2009
Willow Room, 3rd Floor, Galt House Hotel - Louisville, Kentucky

Open Session Agenda

		Tab
I.	Call to Order	George
	• Approval of Minutes, July 8, 2008	1
I.	Report of the President	Ramsey
	• Update on Completion of Annual Goals for 2008-09	2*
	• Discussion of 2009-10 Goals	3*
III.	Executive Session	George
	• Motion to Recess to discuss personnel matters pursuant to KRS 61.810(1)(f)	
IV.	Open Meeting Reconvenes	George
	• Report on Executive Session	
	• Appropriate action, if any	
V.	Adjournment	

**Tabs 2 & 3: Under separate cover*

Members:

Vacancy, Chair
Salem George, Vice Chair
Jonathan Blue
Brent Fryrear
Margaret Handmaker
Melissa Laning
J. Chester Porter, ex officio (Foundation)

Compensation Committee
Board of Trustees
University of Louisville

July 29, 2009
Willow Room, 3rd Floor, Galt House Hotel – Louisville, Kentucky

Executive Session Agenda

- | | Tab |
|--|--------|
| I. Convene Meeting | George |
| II. Personnel Matters | George |
| • Discussion of Compensation Issues based upon Completion of | |
| ○ Annual Goals | |
| ○ Strategic Goals | |
| III. Adjournment | |

SPECIAL MEETING
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

12:15 p.m., July 29, 2009
Willow Room, 3rd Floor, Galt House Hotel - Louisville, Kentucky

Open Session Agenda

- I. Call to Order Frazier
- II. Evaluation of the President
- III. Other Business
- IV. Adjournment

NOMINATING COMMITTEE OF THE
UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION, INC.
BOARD OF DIRECTORS

1:00 p.m., July 29, 2009
Willow Room, 3rd Floor, Galt House Hotel, Louisville, KY

In Open Session

I.	Call to Order	Fryrear	Tab
II.	Approval of Minutes, 11/13/2008		1
III.	Discussion Regarding 2009-10 Officers for UofL Research Foundation, Inc.		2
IV	Adjournment		

Committee Members
Vacancy, Chair
Brent Fryear, Vice Chair
Margaret Handmaker
Rebecca Jackson
Frank Minnifield

PERSONNEL COMMITTEE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

July 30, 2009
Willow Room, 3rd Floor, Galt House Hotel – Louisville, Kentucky

Open Session Agenda

		Tab
I.	Call to Order	
	• Approval of Minutes, June 11, 2009	Handmaker 1
II.	Action Item: Approval of Revisions to	Willihnganz
	• School of Music Bylaws and Personnel Documents	2
	• Kent School of Social Work Bylaws	3
III.	Executive Session	Handmaker
	• Motion to Recess to discuss personnel matters pursuant to KRS 61.810(1)(f)	
IV.	Open Meeting Reconvenes	Handmaker
	• Report on Executive Session	
	• Appropriate action, if any	
V.	Other Business	
VI.	Adjournment	

Committee Members:
Margaret Handmaker, Chair
Brent Fryrear, Vice Chair
Two Vacancies
Robert Curtis Hughes
Melissa Laning
Frank Minnifield

PERSONNEL COMMITTEE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

July 30, 2009
Galt House Hotel - Louisville, Kentucky

Executive Session Agenda

I.	Call to Order	Handmaker	Tab
II.	Personnel Matters		
	• Monthly Personnel Actions	Willihnganz	4
III.	Adjournment		

UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION, INC.
BOARD OF DIRECTORS
Annual Meeting

July 29, 2009
Willow Room, 3rd Floor, Galt House Hotel – Louisville, Kentucky

IN OPEN SESSION

			Tab
I.	Call to Order	Stone	
II.	Action Item: Approval of Minutes of Meeting, 11/13/08	Stone	1
III.	Report of the Nominating Committee	Fryrear	2
IV.	Action Item: Approval of Security Clearance and Managerial Group	Ramsey	3
V.	Report of the President	Ramsey	
VI.	Adjournment		

BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

July 29, 2009
Willow Room, 3rd Floor, Galt House Hotel - Louisville, Kentucky

Open Session Agenda

		Tab
I.	Call to Order	Frazier
II.	Consent Agenda	
	A. <u>Approval of Minutes</u>	
	• Meeting Minutes, 6/11/09	1
	B. <u>From the Personnel Committee 7/29/09</u>	
	• Approval of Monthly Personnel Recommendations	2
	• Approval of School of Music Bylaws & Personnel Documents	3
	• Approval of Kent School of Social Work Bylaws	4
	C. <u>From the Compensation Committee 7/29/09</u>	
	• Report on President's Compensation	
	• Approval of Goals 2009-10	5*
	D. <u>Approval of August Graduates and Candidates</u>	6
III.	Action Items: Approval of the New Degrees and Programs:	Ramsey
	• Graduate Certificate in Public History	7
	• Graduate Certificate in Asian Studies	8
	• Ph.D. in Applied Sociology	9
IV.	Action Item: Approval of Allocation for the Endowment Match Program	Ramsey 10
V.	Action Item: Authorization to Proceed with Energy Performance Contract	Ramsey 11
VI.	Action Item: Approval of Security Clearance and Managerial Group	Ramsey 12
VII.	Report of the President	Ramsey
	• Report of the SGA President	Oleka
	• 2020 Plan/Metrics thru 2014	Willihnganz
	• Economic Outlook for State and Nation	Shanker
	• Where We Are/What is Economic Future?	Curtin
VIII.	Report of the Chairman	Frazier
	• Evaluation of the President	
IX.	Adjournment	

**Under separate cover*

MINUTES OF THE REGULAR MEETING OF THE UNIVERSITY OF LOUISVILLE
RESEARCH FOUNDATION, INC. BOARD OF DIRECTORS

In Open Session

The University of Louisville Research Foundation, Inc., Board of Directors met on November 13, 2008, in the Jefferson Room, Grawemeyer Hall, with members present and absent as follows:

Present: Ms. Sandy Metts Snowden, Chair
Ms. Marie Abrams
Mr. Jonathan Blue
Mr. Ron Butt
Mr. Mike Curtin
Dr. Salem George
Mr. Brent Fryrear
Dr. Robert Curtis Hughes
Ms. Rebecca Jackson
Ms. Jessica Loving
Dr. Manuel Martinez Maldonado
Mr. Frank Minnifield
Mr. Larry Owsley
Mr. Steve Poe
Dr. James R. Ramsey
Dr. William Selvidge
Ms. Sandy Metts Snowden
Mr. Bill Stone

Absent: Mr. Owsley Frazier
Ms. Margaret Handmaker
Dr. Shirley Willihnganz

From the
University: Dr. Larry Cook, Executive Vice President for Health Affairs
Ms. Angela D. Koshewa, University Counsel
Mr. Dan Hall, Vice President for External Affairs
Mr. Mike Curtin, Vice President for Finance
Dr. Dale Billingsley, Associate Provost
Mr. David Barker, Director of Audit Services
Ms. Susan Ingram, Director of Budgets
Ms. Terri Rutledge, Asst. VP for Business Affairs
Mr. Larry Zink, Controller
Ms. Susan Magness, Assistant Controller
Ms. Cheri Jones, Associate Director, Audit Services
Mr. John Drees, Assoc. VP for Communications and Marketing

Ms. Cynthia Hess, Director of Communications
Ms. Anne Rademaker, Manager, General Accounting & Reporting
Ms. Carolyn Cochran, Office of the Provost
Mrs. Kathleen M. Smith, Assistant Secretary
Mrs. Debbie Dougherty, Board Liaison

Guest: Ms. Mary McKinley, BKD, LLP
Ms. Jennifer Williams, BKD, LLP

I. Call to Order

Having determined a quorum present, Chair Snowden called the meeting to order at 1:00 p.m. Chair Snowden welcomed new members Brucie Moore and Prof. Melissa Laning.

II. Action Item: Approval of Minutes, July 10, 2008

Ms. Abrams made a motion, which Mr. Stone seconded, to approve the minutes of July 10, 2008.

III. Report of the Nominating Committee

Ms. Abrams reported the Nominating Committee met to fill the vacant treasurer's position. On behalf of the Nominating Committee, Ms. Abrams made a motion, which Dr. Hughes seconded, to approve the

Nominating Committee's recommendation of the following addition to the officers for 2008-09:

Treasurer Bill Stone

The motion passed. Chair Snowden congratulated Mr. Stone on the appointment.

IV. Action Item: Approval of Recommendation Regarding Security Clearance and Managerial Group

President Ramsey noted this action amends the security clearance action the board took last month. It was routine in nature and requested by Federal regulations. Ms. Abrams made a motion, which Dr. George seconded, to approve the

President's recommendation that the Board of Directors adopt the attached Resolution revising the Managerial Group of the Board of Directors of the University of Louisville Research Foundation, Inc. and waiving of security clearance for officers, Directors, and directors not a part of the managerial group; and

that the President be authorized to take any other steps necessary with regard to agreements or assurances to the Defense Security Service to effect the facility security clearance of the University of Louisville Research Foundation, Inc. and clearance of its personnel including compliance with the provisions of the National Industrial Security Program Operating Manual or other Federal government policy relating to safeguarding of classified information.

The motion passed.

V. Action Items:

Approval of Audited Financial Statements for Year Ended June 30, 2008 and Independent Auditor's Report

Chair Snowden asked Vice President Curtin to review the audited financial statements. Vice President Curtin reported the UofL Research Foundation is in strong financial position. BKD has issued a clean, unqualified report with no exceptions. Mr. Curtin asked Ms. McKinley, BKD, to review highlights of the audit. They were:

- \$2.2 million to support National Research Center and Technical Education
- \$1.4 million from the Environmental Protection Agency to support research in the area of the Atherothrombotic Effects of Particulate Matter
- \$1.4 million to support Development of Neural Recovery Rehabilitation and Research Center for Functional Health and Quality of Life Improvements
- \$1.2 million to support Groundwork Education in Mathematics and Science
- \$1.0 million from the NIH to support research on Fabricated Microvascular Networks
- \$0.8 million from the NIH to study the Role of RANTES in Pneumococcal Immunopathogenesis
- \$0.7 million from the NIH to support research of the role of Epithelial Cell TLRs in Disease Susceptibility
- \$0.6 million from the NIH to support research of the Role of PACAP in the Male Fetal Pituitary Breast Cancer

Ms. McKinley reported the Research Foundation's financial position remains strong at June 30, 2008, with total assets of \$133 million and liabilities of \$22.2 million as compared to June 30, 2007 at \$115.9 million of total assets and \$20.8 million of liabilities. Net assets, which represent the residual interest in the Research Foundation's assets after liabilities are deducted, were \$110.8 million and \$95.1 million at June 30, 2008 and 2007, respectively.

Ms. McKinley said the Research Foundation's total liabilities of \$22.2 million consist primarily of deferred revenue. Deferred revenue represents the unearned portion of grants and sponsored programs and comprises \$13.9 million or 63% of total liabilities.

Ms. McKinley noted operating revenues amounted to \$355.5 million and \$320.3 million and operating expenditures were \$331.1 million and \$308.6 million resulting in a net operating income of \$24.4 million and \$11.7 million for the years ended June 30, 2008 and 2007, respectively. When adjusted for net nonoperating expenses of \$8.7 million and \$5.2 million, net assets of the Research Foundation increased by \$15.7 million and \$6.5 million for the years ended June 30, 2008 and 2007, respectively. Ms. McKinley thanked Vice President Curtin and the Controller's Office staff for their cooperation in completing the audit process.

Ms. McKinley reported observations as outlined in BKD's written report. Those observations included one material weakness of monitoring of deferred grant revenue, one control deficiency in the area of segregation of duties, and one other

matter. Full details were discussed and contained in the written report provided to the board by BKD.

Chair Snowden thanked Vice President Curtin and Ms. McKinley for an excellent report. Ms. Abrams made a motion, which Prof. Laning seconded to approve the

President's recommendation that the Board of Directors accept the audited financial statements for the University of Louisville Research Foundation, Inc. for the year ended June 30, 2008 and Independent Auditor's Report as prepared by BKD.

The motion passed.

Approval of the Consolidated Schedule of Expenditures of Federal Awards and Other Reports Required by OMB Circular A-133 for the Year Ended June 30, 2008

Vice President Curtin reviewed the Schedule of Expenditures of Federal Awards for Year Ended June 30, 2008. He noted a clean, unqualified audit, and asked Ms. McKinley to summarize BKD's findings. Ms. McKinley stated the purpose of the Schedule is to present a consolidated summary of those expenditures of the University for the year ended June 30, 2008, which has been federally financed. She reported the University has complied, in all material aspects, with federal requirements; however, the results of the audit disclosed an instance of noncompliance to be reported in accordance with OMB Circular A-133. Ms. Abrams made a motion, which Dr. Selvidge seconded, to approve the

President's recommendation that the Board of Directors accept the Consolidated Schedule of Expenditures of Federal Awards and Other Reports Required by OMB Circular A-133 for the Year Ended June 30, 2008.

The motion passed.

VI. Report of the President

President Ramsey asked Executive Vice President Martinez to present an update on research activities. Dr. Martinez reported the following comparison of grants awarded during the first quarter of FY 09 and FY 08.

	First Quarter FY09	First Quarter FY08
Federal Non research	\$17,259,052	\$ 4,523,929
Federal Research	\$24,705,143	\$22,345,061
Total Federal G&C	\$41,964,195	\$26,868,990
Non Federal Non Research	\$ 8,341,463	\$10,591,373
Non Federal Research	9,399,863	7,265,851
Total Non Federal G&C	17,741,326	17,857,224
Total Grants and Contracts	\$59,705,421	\$44,726,214

Major federal research grants awarded since the start of FY 2008-09 follows:

7/1	NIH Cancer Research Grant	\$10.1M
7/31	NIH Birth Defects Research Grant	\$10.3M
10/1	NSF Education Research Grant	\$ 3.1M
10/3	NIH National Children’s Study Grant	\$13.1M
10/22	NIH Diabetes and Obesity Research Grant	\$11.6M
10/27	NSF Nanotechnology Research Grant	<u>\$ 5.9M</u>
	Total	\$54.1M

Dr. Martinez discussed the R-24 “Pre-clinical Consortium to Facilitate Translational of Cardioprotective Therapies” grant of \$10.23 million awarded. The principal site is UofL and the principal investigator is Roberto Bolli. Other sites collaborating in this study include Albert Einstein College of Medicine, Emory University, Johns Hopkins University, Medical College of Wisconsin, and Virginia Commonwealth University.

Dr. Martinez also reported the \$19.8 Million grant awarded over a five year period to the Clinical and Translational Science Institute will include collaboration from several departments and schools of the University. Other

universities will partner in this research, including Bellarmine, Spaulding, Sullivan, Jefferson Community College, Metroversity, Murray State, Morehead State, Northern Kentucky, Pikeville, Western Kentucky University, and Vanderbilt University. He recognized several clinical health partners, Metro Louisville/government partners, as well as corporate partnership. The specific objectives of this grant are:

1. Expand and fully integrate the academic home for clinical and translational research that was created with the UofL CTSA planning grant
2. Create a multidisciplinary program in research education and career development, utilizing advanced degrees that train the next generation of clinical and translational investigators
3. Provide the necessary clinical research resources and translational technologies including support in areas such as bioinformatics, biostatistics and ethics to create novel and clinical and translational research; and
4. Fully engage the unique and highly diverse population of Kentucky in research, and translate our research findings into the community to improve the overall health and well being of its populace.

Chair Snowden thanked Executive Vice President Martinez for an informative report.

VII. Adjournment

Ms. Jackson made a motion, which Mr. Spencer seconded, to adjourn the meeting at 1:40 p.m. The motion passed.

MINUTES OF THE NOMINATING COMMITTEE OF THE
UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION, INC.
BOARD OF DIRECTORS

November 13, 2008

In Open Session

Members of the University of Louisville Research Foundation Nominating Committee met at 12:35 p.m. on November 13, 2008 in the Terrace Ballroom of the Griffin Gate Marriott, Lexington, Kentucky, with members present and absent as follows:

Present: Ms. Marie Abrams, Chair
Mr. Brent Fryrear
Ms. Rebecca Jackson
Mr. Frank Minnifield

Absent: Ms. Margaret Handmaker

Other Trustees

Present: Dr. Salem George
Dr. Robert Curtis Hughes
Ms. Brucie Moore
Mr. Steve Poe
Dr. William Selvidge
Mr. Rudolph Spencer, III
Ms. Sandy Metts Snowden
Mr. Bill Stone

From the

University: Dr. James Ramsey, President
Dr. Larry Cook, Executive Vice President for Health Affairs
Dr. Manual Martinez, Executive Vice President for Research
Mr. Mike Curtin, Vice President for Finance
Mr. Keith Inman, Vice President for University Advancement
Ms. Angela Koshewa, University Counsel
Mr. John Drees, Associate Vice President for Communications & Marketing
Mrs. Kathleen M. Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present, Chair Abrams called the meeting to order at 12:35 p.m.

II. Approval of Minutes, 07/09/2008

The minutes were approved.

III. Discussion Regarding Treasurer Position

Chair Abrams reported the purpose of the meeting was to discuss the vacancy in the treasurer position for 2008-2009. This vacancy occurred when Grant Helman was not reappointed to the Board. Mr. Fryrear made a motion, which Mr. Minnifield seconded, to approve Bill Stone be approved as Treasurer for 2008-09. The motion passed.

IV. Adjournment

The meeting adjourned at 12:40 p.m.

**Recommendation for 2009-10 Officers of the University of Louisville
Research Foundation, Inc.**

**Nominating Committee July 29, 2009
Board of Directors July 29, 2009**

RECOMMENDATION:

**The Nominating Committee recommends the following slate of officers for
2009-10:**

Chairman	Robert Curtis Hughes
Vice Chair	Bill Stone
Treasurer	Ron Butt
Secretary	Melissa Laning
President	James R. Ramsey
Vice President	Shirley Willihnganz
Vice President	Manuel Martinez-Maldonado
Vice President	Larry L. Owsley
Vice President	Mike Curtin
Legal Counsel	Angela D. Koshewa
Assistant Secretary	Kathleen M. Smith

Committee action:

Passed: _____
Did Not Pass: _____
Other: _____

Assistant Secretary

Board action:

Passed: _____
Did Not Pass: _____
Other: _____

Assistant Secretary

RECOMMENDATION TO THE BOARD OF DIRECTORS OF THE
UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION, INC.,
CONCERNING MANAGERIAL GROUP

July 29, 2009

RECOMMENDATION:

The President recommends:

That the Board of Directors adopt the attached Resolution revising the Managerial Group of the Board of Directors of the University of Louisville Research Foundation, Inc., and waiving of security clearance for officers, Directors, and directors not a part of the managerial group; and

That the President be authorized to take any other steps necessary with regard to agreements or assurances to the Defense Security Service to effect the facility security clearance of the University of Louisville Research Foundation, Inc. and clearance of its personnel including compliance with the provisions of the National Industrial Security Program Operating Manual or other Federal government policy relating to safeguarding of classified information.

BACKGROUND:

This resolution updates the “Managerial Group” of the University of Louisville Research Foundation, Inc., with full authority and responsibility for administering contracts involving access to classified material. The persons designated in the managerial group will be required to undergo government security clearance if they have not already done so. Due to the high cost of these clearances to the government—both in terms of money and tying up personnel—the Federal Government would prefer to avoid processing security clearances for every officer, trustee, and director. To carry out the purposes of this delegation and to meet federal regulations, the Board takes formal action waiving access to classified information for all officers, Directors, and directors not designated in the managerial group and must take action waiving access to classified information for each new officer, trustee, or director.

Action:

Passed _____

Did Not Pass _____

Other _____

Assistant Secretary

RESOLUTION
BOARD OF DIRECTORS
UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION, INC.

July 29, 2009

WHEREAS the Defense Security Service, Department of Defense of the Federal Government requires security clearance with the Federal Government for persons constituting the Managerial Group of the University of Louisville; and

WHEREAS, the Managerial Group must undergo government security clearance at the same level as the Facility Security Clearance; and

WHEREAS the Board of Directors desires to delegate all of its duties and responsibilities pertaining to the protection of classified information to the Managerial Group; and

WHEREAS because of this designation the Board of Directors will not be in a position to affect adversely the performance of classified contracts; and

WHEREAS the University of Louisville has been informed that the Federal Government will not process security clearances for members of the Board of Directors who are not in a position to affect adversely the performance of classified contracts;

BE IT RESOLVED that the following personnel shall constitute the Managerial Group for industrial security responsibilities as described in the National Industrial Security Program Operating Manual for Safeguarding Classified Information:

Name	Position
James Richard Ramsey	President
Shirley Chilton Willihnganz	Executive Vice President and Provost
Larry N. Cook	Executive Vice President
Manuel Martinez-Maldonado	Executive Vice President
Michael Joseph Curtin	Vice President
Larry L. Owsley	Vice President
Bruce W. Edwards	Facilities Security Officer
Lisa J. Braden	Assistant Facilities Security Officer

THAT the said Managerial Group shall be and hereby is delegated the full authority and responsibility for negotiating, executing and administering classified contracts of the Department of Defense or other User Agencies of the United States Government awarded to the University of Louisville Research Foundation, Inc.

THAT all other officers of the University of Louisville Research Foundation, Inc. and members of the Board of Directors shall not require, shall not have, and can be effectively excluded from access to all classified information released to, in the possession or under the control of the University of Louisville Research Foundation, Inc., and do not occupy positions that would enable them to affect adversely the policies and practices of the University of Louisville in the performance of classified contracts for the Department of Defense and other User Agencies of the United States Government, Inc. need not be processed for an access

authorization in accordance with previous actions taken by the Board regarding the members of the Board of Directors, including the following officers and/or directors:

Jonathan Scott Blue
Ronald Dean Butt
Kevin W. Cosby
Owsley Brown Frazier
Brent A. Fryrear
Salem M. George, Sr.
Margaret Handmaker
Robert Curtis Hughes
Rebecca Day Jackson
Melissa Laning
Mark E. Lynn
Frank Minnifield
Brucie Moore
Onyejindu C. Oleka
Steven Poe
Jack Chester Porter
Debbie Scoppechio
William Selvidge
William Allen Stone
Phoebe A. Wood

THAT this Resolution supersedes the Resolution of November 13, 2008 as it relates to the Managerial Group. All other provisions of that Resolution remain in full force and effect.

Certificate

I certify that I am the duly qualified Assistant Secretary to the Board of Directors of the University of Louisville Research Foundation, Inc., that the foregoing is a true copy of the Resolution adopted at the regular meeting of such Board, which was held the 29th day of July, 2009, at which meeting a quorum was present and a majority of members present voted in favor of the adoption of such resolution. I further certify that such Resolution is still in full force and effect.

Dated this 29th day of July, 2009.

Assistant Secretary
Board of Directors
University of Louisville Research Foundation, Inc.

MINUTES OF THE MEETING OF THE PERSONNEL COMMITTEE OF THE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES.

June 11, 2009

In Open Session

Members of the Personnel Committee of the University of Louisville Board of Trustees met on Thursday, June 11, 2009, at 1:00 p.m., in the Jefferson Room of Grawemeyer Hall, with members present and absent as follows:

Present: Ms. Margaret Handmaker, Chair
Ms. Marie Abrams
Mr. Brent Fryrear
Dr. Robert Curtis Hughes
Prof. Melissa Laning
Ms. Jessica Loving

Absent: Mr. Frank Minnifield

Other Trustees

Present:
Mr. Ron Butt
Mr. Owsley B. Frazier
Mr. Brent Fryrear
Dr. Salem George
Ms. Rebecca Jackson
Ms. Brucie Moore
Mr. OJ Oleka
Mr. Steve Poe
Mr. J. Chester Porter
Ms. Debbie Scoppechio
Dr. William Selvidge
Ms. Sandy Metts Snowden
Mr. William Stone

From the
University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. Larry Cook, Executive Vice President for Health Affairs
Dr. Manuel Martinez-Maldonado, Executive Vice President for Research
Ms. Angela D. Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance
Mr. Larry Owsley, Vice President for Business Affairs

Dr. Tom Jackson, Vice President for Student Affairs
Dr. Priscilla Hancock, Vice President for Information Technology
Ms. Kimberly Maffet, Interim Vice President for Human Resources
Ms. Mary Griffith, Senior Associate VP, University Advancement
Mr. Mark Hebert, Director of Media Relations
Ms. Susan Ingram, Director of Budgets
Mr. John Drees, Associate VP for Marketing
Ms. Terri Rutledge, Associate VP for Business Affairs
Mr. Jason Tomlinson, Assistant VP for Finance
Ms. Anne Rademaker, Manager, General Accounting & Reporting
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Kathleen M. Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present Chair Handmaker called the meeting to order at 1:00 p.m.

Minutes Approved

Mr. Fryrear made a motion, which Prof. Laning seconded, to approve the minutes of May 14, 2009. The motion passed.

II. Executive Session

Prof. Laning made a motion, which Mr. Fryrear seconded, to go into executive session at 1:05 p.m. The motion passed.

III. Open Session Reconvened/Adjournment

Chair Handmaker reported that the Committee discussed personnel matters in executive session. Ms. Abrams made a motion, which Ms. Loving seconded, to approve the

Chair's recommendation of the following appointment to the Quality and Charity Care Trust (QCCT) Board of Directors for 2009-10:

Adewale Troutman (to replace Mary Gwen Wheeler)

The motion passed.

Ms. Loving made a motion, which Prof. Laning seconded, to approve the

President's recommendation that the following personnel recommendations be approved by the Board of Trustees.

ADMINISTRATION

Hugh I. Stroth, Jr., M.Ed.; termination of appointment as Associate Vice President for Development, June 1, 2009.

COLLEGE OF ARTS AND SCIENCES

Wendy E. Pfeffer, Ph.D., Professor of Classical and Modern Languages; additional appointment as Assistant Dean for Graduate Education, July 1, 2009. The appointment as Assistant Dean is at the pleasure of the Board of Trustees.

The motion passed.

IV. Other Business

There was no other business.

V. Adjournment

Ms. Loving made a motion, which Mr. Fryrear seconded, to adjourn the meeting at 1:15 p.m. The motion passed.

MINUTES OF THE PERSONNEL COMMITTEE OF THE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

June 11, 2009

In Executive Session

Present: Ms. Margaret Handmaker, Chair
Ms. Marie Abrams
Mr. Brent Fryrear
Dr. Robert Curtis Hughes
Prof. Melissa Laning
Ms. Jessica Loving

Absent: Mr. Frank Minnifield

Other Trustees

Present: Mr. Ron Butt
Mr. Owsley B. Frazier
Mr. Brent Fryrear
Dr. Salem George
Ms. Rebecca Jackson
Ms. Brucie Moore
Mr. OJ Oleka
Mr. Steve Poe
Mr. J. Chester Porter
Ms. Debbie Scoppechio
Dr. William Selvidge
Ms. Sandy Metts Snowden
Mr. William Stone

From the
University:

Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. Larry Cook, Executive Vice President for Health Affairs
Dr. Manuel Martinez-Maldonado, Executive Vice President for Research
Ms. Angela D. Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance
Mr. Larry Owsley, Vice President for Business Affairs
Dr. Tom Jackson, Vice President for Student Affairs
Ms. Priscilla Hancock, Vice President for Information Technology
Ms. Kimberly Maffet, Interim Vice President for Human Resources
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Kathleen M. Smith, Assistant Secretary

I. Call to Order

Chair Handmaker called the executive session to order at 1:05 p.m.

II. Personnel Matters

QCCT Board Appointment

President Ramsey briefed the Committee concerning the 2009-10 QCCT board appointment.

Monthly Personnel Recommendations

Provost Willihnganz briefed the Committee concerning monthly personnel recommendations.

III. Adjournment

The executive session adjourned at 1:10 p.m.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING BYLAWS AND PERSONNEL DOCUMENTS
OF THE SCHOOL OF MUSIC

Personnel Committee – July 30, 2009
Board of Trustees – July 30, 2009

RECOMMENDATION:

The President recommends:

That the Board of Trustees approves the revised bylaws and personnel documents for the School of Music in the forms attached, to be effective immediately.

BACKGROUND:

These revisions were approved by the School of Music Faculty, the Faculty Senate at its September 2008 meeting (bylaws) and January 14, 2009 meeting (personnel document) and reviewed by University Counsel and the Provost Office.

Committee Action:
Passed: _____
Did Not Pass: _____
Other: _____

Board Action:
Passed: _____
Did Not Pass: _____
Other: _____

Assistant Secretary

Assistant Secretary

POLICY MANUAL

University of Louisville School of Music

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I. Professional Duties of the Faculty

Excellent teaching is of primary importance to the School of Music. Activities including research, creative achievement, extramural performance, and service are also valuable and important both in and of themselves and because they invigorate one's teaching and bring recognition to the School. All faculty members must maintain a reasonable balance in their work so that neither teaching nor extramural professional activity is consistently neglected.

A. Classes

Faculty members are expected, as a matter of course, to meet all classes and lessons that they are scheduled to teach. If a professor must miss a private lesson, it is understood that the student will be notified as far in advance as possible and that the lesson shall be rescheduled at the earliest possible time. If a professor must miss a class, a substitute should be provided when possible.

B. Students

Faculty members are expected to maintain a professional concern about a student's continued progress, regardless of their assessment of a student's abilities.

C. Convocations

Faculty members are encouraged to attend convocations. Attendance at the opening convocation on the first day of each school year is mandatory for all faculty members.

D. Juries and Oral Exams

Faculty members (full-time and part-time) are required to attend juries within their appropriate performance areas. For graduate orals, faculty chairing thesis committees are expected to attend the oral examination of the graduate candidate. Applied faculty are expected to attend the oral examinations of their students.

E. Student Recitals

Faculty members are encouraged to attend student recitals, especially those in their area.

F. Faculty Recitals

Faculty members are encouraged to attend recitals given by faculty colleagues and concerts presented by School performing groups.

G. Faculty Meetings

Full-time members are expected to attend all faculty meetings as well as meetings of committees and other groups, both in the School of Music and the University, to which they have been elected or assigned. Part-time faculty members are encouraged to attend faculty meetings.

H. Ethics

All faculty members should cultivate professional ethics in their relationships with colleagues and students. In the event of disagreements with their colleagues, faculty should make every effort at resolving them through informal processes; the most important step should be discussions with the colleagues involved. In all instances, students should be protected and should not become a party to faculty disagreements.

II. Faculty Personnel Policies

A. Types of Reviews

In the School of Music there are five types of faculty review: annual review, pre-tenure review, tenure review, promotion review, and periodic career review. In this document, information and procedures common to all reviews are detailed first, followed by information specific to each type of review.

B. When Reviews are Conducted

1. Annual reviews are conducted each year. In years when the University budget allows for merit increases in salary, the amount of any such increase will be determined by the annual review.
2. Pre-tenure reviews are normally conducted at the mid-point of the probationary period, i.e., between the time an individual has been appointed into a tenure-track position and the time he or she is reviewed for tenure.
3. Promotion and tenure reviews: Faculty members shall normally remain in the ranks of assistant and associate professor for a period of six years each, undergoing review for promotion to the next rank during the sixth year. The review for tenure shall normally occur simultaneously with the review for promotion from assistant to associate professor.
4. Periodic career reviews: Faculty members with tenure shall undergo a periodic career review after every fifth year of service. When the review period ends in a sabbatical or other leave, the periodic career review shall be deferred until the next academic year. A promotion shall replace a periodic career review for the period in which the promotion occurs (The Redbook, Section 4.2.4).

C. General Criteria to be Used in All Reviews of Faculty

1. Teaching
 - a. The primary requirement for a positive personnel action is effective teaching. Thorough preparation, mastery of the subject matter, and effective communication thereof are essential. The individual teaching style and approach of any faculty member, however, is of necessity a matter of personal determination.
 - b. Evidence of classroom and ensemble teaching effectiveness will be gathered from careful consideration of course organization, syllabi, instructional materials, evidence of planning and preparation, knowledge of subject matter, efforts to encourage student participation, and student course evaluation forms. In the year of a promotion or tenure review, evidence will also be gathered from classroom visitation by at least two Division faculty, who shall each attend two or more classes taught by the faculty member under review in the course of a semester. The last of the observations shall take place at least three weeks before the division vote. The faculty member being observed shall have at least one-week notice prior to each observation. A written summary shall be placed in the faculty member's file within one week of the observation. The faculty member may respond in writing within one week.
 - c. Evidence of the effectiveness of studio teaching will be evaluated by the quality of student performance at convocations, juries, and concerts, and from a careful consideration of student course evaluation forms.

- d. The development of new courses or innovative, effective teaching approaches shall be considered when appropriate. A faculty member under consideration may provide evidence of such innovative approaches or new programs. In the case of major innovations, it may be thought more appropriate to consider these as creative activity.
 - e. A faculty member under consideration may present evidence of participation as a reader on graduate thesis committees. Two levels of activity with regard to recital and thesis committees shall be considered. The student's studio teacher, in the first case, and chief reader, in the second case, shall receive teaching credit for their work. Other members of both recital and thesis committees shall receive service credit instead of teaching credit for their work, unless otherwise stipulated by the Annual Work Plan.
2. Research and Creative Activity: The School of Music recognizes and encourages a diversity of contributions in musical performance and composition, scholarly research, and other sorts of creative activity. It is understood that faculty who are primarily performers or composers engage in research and creative activities, the result of which is normally performance and/or recording rather than scholarly publication.
- a. Research and creative activity may include but not be limited to publishable books and articles, performances, compositions, recordings, arrangements, demonstrations, and papers presented at professional conferences and meetings. To the extent they represent serious research and creative activity, presentations to musical and educational conventions, workshops, master classes, or seminars as well as research grant proposals and the like are also recognized. The specific standards within a division shall be determined by the division faculty.
 - b. The evaluation of research and creative activity is based on documented evidence. Research that leads to the development of major innovations in effective teaching and research methods is recognized as significant creative activity. Participation in interdisciplinary programs is encouraged and is recognized when it involves significant research and creative effort.
 - c. Non-recorded performances, such as presentations, recitals, concerts, lectures, and demonstrations to the public, shall also be considered. The faculty member under consideration must provide evidence of such occurrences by printed programs, reviews or the like.
 - d. Research or creative activity in progress may also be considered an achievement to the extent that the faculty member under consideration has developed it to the point that the quality of the work can be considered by the Personnel Committee.
 - e. In reviewing research and creative activity, both the quality and quantity of work will be considered, but quality will be considered of primary importance.
 - f. When a faculty member under review has had extraordinary teaching or service obligations during a significant part of the period under consideration, this shall be taken into account in any judgment of his or her research and creative activity.
3. Service
- a. Service to the University. Faculty participation in the governance and operation of the School of Music and the University is important in maintaining the strength of the School.

- i. Service to the School of Music entails participation in faculty meetings and faculty committees. It may also include administrative assignments, academic advising, serving on recital committees, the sponsorship of student groups or other services to students, and the performance of special tasks assigned by the faculty or Dean.
 - ii. The School of Music has an important obligation to participate actively in the affairs of the University community. Therefore, faculty members are encouraged to provide service to the University as well as to the School of Music as opportunities allow. Participation on University committees, performance of University governance or administrative tasks, and acceptance of significant advisory positions within the University shall be considered evidence of service to the University.
 - iii. The quality as well as the quantity of service to the School of Music and University shall be considered. A faculty member under consideration may provide, or the Personnel Committee may seek, evaluations of the faculty member's service, such as letters from Committee chairs testifying to the faculty member's level of participation.
- b. Service to the Profession. Service to the profession is expected of music professors. Active participation in professional organizations, service on music committees and commissions, presentations at professional education seminars, and participation in professional meetings are acceptable forms of professional service. The receipt of professional honors and awards may be evidence of professional service.
 - c. Service to the Community. Service to the community (local, state, and national) may take many forms: speeches and interviews; service on community committees, task forces and commissions; and presentations concerning the music profession to community groups, schools and the like are considered as service to the community. To be considered as service to the community, the activity should normally be related to one's status as a musician or as a professor.

4. Other Criteria

- a. A faculty member hired with the understanding that his or her professional experience upon the initial appointment is equivalent to an advanced degree may not be denied tenure and/or promotion because of the lack of such degree, unless the contract at the time of hiring stipulates the acquisition of such a degree by a specified date as a condition of continued employment. The lack of a terminal degree shall not be considered prejudicial in any subsequent personnel reviews.
- b. Scholarship, research, creative activity, and service are to be determined by the faculty within the Division.

D. Specific Guidelines for Each Type of Review

1. Annual Work Plan and Annual Review

a. Requirements and Procedures

- i. Each full-time faculty member will develop and submit for the approval of the Dean an Annual Work Plan for the coming year in consultation with the appropriate Division Head(s). The Annual Work Plan shall detail courses to be taught, as well as outline any planned research and other creative activity and service to be undertaken, and shall be consistent with The Redbook, Section

4.3.1, Annual Work Plan and Presence at the University. Once approved by the Dean, copies will be sent to the appropriate Division Head(s) and placed in the faculty member's personnel file.

- ii. The annual review shall measure achievement of the goals outlined in the Annual Work Plan and will be based on documentation of performance as outlined in this document. Faculty may also report at the time of the annual review other measurements such as, but not limited to, record of innovations in teaching, new course development, involvement in student recruitment, representation of the School of Music off-campus, and grants sought and/or awarded.
- iii. Consideration for an annual salary increase shall be based on the merit of all professional activities, regardless of whether or not an outside fee or salary was received.
- iv. Faculty may not be penalized for lack of activity in areas not assigned in the Annual Work Plan.
- v. Faculty members may place documentation that qualifies them for a salary increase in their annual review files. The Dean must base salary decisions on the contents of the review files in addition to the recommendation(s) of Division Head(s) and a review of student course evaluation forms.
- vi. The faculty member will be responsible for and shall submit a Professional Activities Summary, along with any supporting documentation. Except for new faculty, this documentation shall cover the preceding calendar year.
- vii. Decisions on the awarding of annual salary increases shall be made by the Dean in conjunction with the Division Heads. In the case of review for a Division Head, the decision will be made by the Dean in consultation with the member of that Division who has highest seniority in terms of rank and longevity other than the Division Head.
- viii. In view of the distinctive and diverse talents of the School's faculty, it is the responsibility of the group identified above to make equitable salary decisions which take into account faculty diversity and to compare and reward the faculty's diverse effort appropriately.
- ix. Probationary faculty must demonstrate proficiency in teaching, research/creative activity, and service. The evaluation of tenured faculty shall take into consideration the categories of teaching, research/creative activity and service as articulated in the Annual Work Plan, as well as the faculty member's personal and professional contributions towards the attainment of his or her Division's goals and objectives as well as those of the School.
- x. Each annual review shall summarize overall annual performance as excellent, proficient, or not proficient.
- xi. The Dean shall inform faculty members, in writing, of the performance evaluations, recommendations for improvement if necessary, and recommendations, if any, for salary increases. Each faculty member shall be given the opportunity to respond to these recommendations and his or her performance evaluation so that timely adjustments may be made before the Dean's final recommendation. (The Redbook, Section 4.2.1, Annual Reviews).
- xii. The Dean shall make to the faculty and to the University Provost an annual report which shall contain at least a frequency distribution of the percentage salary increases received by all faculty members in the unit and a description of the evaluation system used to derive such increases.

- xiii. Faculty members who feel that they have been unfairly evaluated and/or denied an annual salary increase or that the amount of their increase was not commensurate with their degree of achievement may appeal the decision to the Dean by September 1 of the same calendar year for informal resolution. The Dean shall respond by September 15. If, after having received a written response from the Dean, the faculty member continues to feel dissatisfied with the Dean's decision, he or she may file a written appeal with the Personnel Committee by September 30. The Personnel Committee will review the appeal and make its recommendation to the Dean by October 15.
- xiv. The School of Music shall archive faculty annual reviews.

b. Timetable

- i. New faculty members will complete an Annual Work Plan at the time of their initial appointment; all other faculty members will submit Annual Work Plans to the Dean by January 15 for that calendar year. Approved documents shall be placed in the faculty member's personnel file.
- ii. Faculty members may revise the Annual Work Plan in consultation with the appropriate Division Head(s), subject to approval by the Dean, no later than October 15.
- iii. The Annual Work Plan may be developed over a two- or three-year period in order to provide responsive flexibility that meets the needs of the faculty and the School of Music.
- iv. Reviews for annual salary increases shall be conducted in writing each calendar year. For new faculty, the review will encompass the period from the date of appointment to the end of the calendar year. If funding in any given year does not allow for recognition of meritorious performance, the review(s) shall be included in future merit reviews when funding is available.

2. Pre-Tenure Review

- a. Requirements, Procedures and Timetable different from those required by the Annual Review
 - i. Each probationary faculty member in the School of Music shall be reviewed at the mid-point of the probationary period at the University. The review shall be conducted at the same level of rigor and by the same process as a tenure review, except that external evaluations shall not be required. The results of the review shall be made available to the faculty member. The purpose of the review is to inform the faculty member of the unit's perception of the progress being made towards meeting the standards required for tenure. The evaluation originates in the faculty member's primary Division and proceeds to the Personnel Committee, but it shall not be considered complete until acknowledged by the Dean in a letter to the faculty member under review.
 - ii. The record compiled for pre-tenure review shall be maintained as part of the evidence to be considered in tenure review.
 - iii. During the spring semester, the Dean shall notify each Division Head in writing of all faculty in that Division who are eligible for pre-tenure review, as determined by current policy.

- iv. The Dean shall inform the Personnel Committee, the faculty member or members under consideration, and other full-time members of the faculty of the faculty members who must be considered for pre-tenure review.
- b. Additional Levels of Review for Pre-Tenure Review
 - i. Division Review and Recommendation
 - (a) The candidate shall have access to and may respond in writing to any material that is placed in the file, but neither the candidate nor anyone else shall have the right to remove anything from the file.
 - (b) The Division Head shall convene a meeting of the Division faculty to evaluate the file of the candidate in light of the criteria and standards appropriate to the type of review outlined in the governance documents. All full-time tenured and probationary faculty with a primary appointment in the candidate's Division are expected to participate in the review, and non-tenurable (term and part-time) Division faculty, as well as those with a secondary appointment in the candidate's Division are encouraged to do so. The Division Head and Division faculty members will vote by secret ballot on whether or not to recommend that the faculty member has successfully passed the pre-tenure review. Only full-time tenured and probationary faculty with a primary appointment to the candidate's Division are eligible to vote, and all are required to vote with the exception of the candidate. The Division Head shall submit the vote of the Division by letter, including salient points of the discussion, to the Personnel Committee within one week of the vote Division vote.
 - (c) The candidate shall be notified in writing of the result of the vote by the Division Head within one week of the vote. The letter providing the summary of the Division discussion shall be available to the candidate. If the vote is negative, such notification to the candidate shall be by certified mail.
 - ii. Personnel Committee Review and Recommendation
 - (a) The Personnel Committee shall make its recommendation concerning the candidate's pre-tenure review based on the materials in the review file as well as the Division review and recommendation.
 - (b) The Personnel Committee may invite the candidate or other persons as it deems necessary to appear before the Committee. Any faculty member may request such an invitation. Candidates shall be informed if any person is invited to appear before the Committee, and shall be informed of the substance of such a meeting and shall have the right to respond in writing and/or to appear before the Committee prior to the vote.
 - (c) After due consideration of all available information, the Personnel Committee shall vote by secret ballot on whether or not to recommend that the candidate has passed the pre-tenure review. The recommendation shall be by simple majority vote of the members of the Personnel Committee, and the committee chair shall attest to the results. Following the vote, the committee chair shall inform the Dean. Within one week, the committee chair shall submit to the Dean a written summary of the committee discussion and the results of the vote.

- (d) The chair of the Personnel Committee shall inform the candidate within one week in writing of the results of the vote. The candidate has the right to submit a written rebuttal to the vote.
- (e) The Dean shall report the results of the pre-tenure review to the faculty member.

3. Tenure Review

a. Requirements, Procedures and Timetable, which differ from those required by the Annual Review

- i. In keeping with the mission of the School of Music and the nature of music study, teaching is considered paramount to the qualifications for tenured faculty members. Candidates for advancement to tenure shall demonstrate excellence in teaching and proficiency in research/creative activity and service. They shall, in addition, give promise of continuing at these levels of performance in all of these areas. Further, in accordance with The Redbook, Section 2.5.8, they shall demonstrate adherence to professional standards.
- ii. Completion of the probationary period with positive annual performance reviews and a positive pre-tenure review shall not in and of itself constitute sufficient grounds for tenure.
- iii. Evaluation for tenure shall originate in the Division of the candidate's primary appointment. The evaluation and recommendation of the Division faculty shall be forwarded by the Division Head to the Personnel Committee, which shall make a recommendation to the Dean. The recommendation of the Dean shall be the School of Music's recommendation.
- iv. During the spring semester, the Dean shall notify each Division Head in writing of all faculty in that Division who are eligible for tenure review in the proceeding academic year. In addition the Dean shall inform the Personnel Committee, the faculty member(s) under consideration, and other full-time members of the faculty.

b. Additional Requirements for Personnel File of Those Seeking Tenure

- i. The Division Head shall submit the names of two external evaluators and one alternate for candidates seeking tenure to the Dean's Office.
- ii. External evaluators shall provide comments regarding the quality of research and creative activity, along with justifications for those comments, but recommendations as to whether promotion or tenure should be awarded shall be disregarded.

(a) Selection of External Evaluators

- (1) Qualifications. External evaluators shall be nationally recognized experts in the candidate's field of specialization. Evaluators may include experts not affiliated with academic institutions. Evaluators with academic appointments shall be tenured faculty members and must be at or above the rank to which the candidate seeks promotion.
- (2) Neutrality. External evaluators shall be in a position to provide an objective assessment of the candidate's work. Evaluators may not be former mentors or individuals who have collaborated extensively with the candidate on research or creative activity.

Division Head shall submit the vote of the Division by letter, including salient points of the discussion, to the Personnel Committee within one week of the Division vote.

- (c) The candidate shall be notified within one week in writing of the results of the Division vote. If the vote is negative, such notification to the candidate shall be by certified mail. The letter providing the summary of the Division discussion shall be available to the candidate.

ii. Personnel Committee Review and Recommendation

- (a) The Personnel Committee shall make its recommendation concerning the candidate's review based on the materials in the review file as well as the Division review and recommendation.
- (b) The candidate may choose to appear before the Personnel Committee, or the Personnel Committee may request the candidate to appear. During this appearance, the candidate may make a statement, present any evidence that could not be reduced to writing or recordable form, and respond to any members of the Personnel Committee. The candidate may request that this meeting be recorded. If recorded, the chair of the Personnel Committee shall be responsible for such a recording, provided sufficient notification is given.
- (c) The Personnel Committee may invite such other persons as it deems necessary to appear before the Committee. Candidates shall be informed if any person is invited to appear before the Committee, shall be informed of the substance of such a meeting, and shall have the right to respond in writing and/or to appear before the Committee prior to the vote.
- (d) After due consideration of all available information, the Personnel Committee shall vote by secret ballot on whether or not to recommend that the candidate should be granted tenure and/or promotion. The recommendation shall be by simple majority vote of the members of the Personnel Committee, and the committee chair shall attest to the results. Within one week, the committee chair shall submit to the Dean a summary of the committee discussion and the results of the vote.
- (e) The chair of the Personnel Committee shall inform the candidate in writing within one week of the vote. If the recommendation is negative, such notification shall be by certified mail and shall include the reasons for the negative recommendation. The candidate has the right to submit a written rebuttal of the vote.

iii. Dean's Recommendation to the University Provost

The Dean, having received all material reviewed during the previous steps, shall make a recommendation to the University Provost. Before the recommendation is sent to the University Provost, the Dean shall provide the candidate a copy of that recommendation. If the recommendation is negative, a copy of the recommendation shall also be sent to the candidate by certified mail. Only the candidate will see the Dean's recommendation. Before the file is forwarded to the University Provost, the candidate may add newly available evidence and/or rebuttals, in accordance with provisions of The Redbook. The final step of this procedure is the forwarding of the complete set of

recommendations and the file to the University Provost as appropriate as specified in The Redbook, Sections 4.2.2.H.5 and 6. Once the file has been forwarded to the Provost, the file is considered closed, and no new materials may be added.

4. Promotion Reviews

- a. Requirements and Procedures different from those required by the Annual Review
 - i. Candidates for promotion to associate professor shall demonstrate excellence in teaching and satisfactory performance in research/creative activity and service. They shall, in addition, give promise of continuing at these levels of performance in all of these areas and shall demonstrate professional academic conduct in areas covered by the other criteria listed in the section above.
 - ii. Candidates for promotion to the rank of professor shall demonstrate excellence in teaching or research/creative activity. Furthermore, they shall give promise of continuing excellence in one or more of the areas of teaching, research/creative activity, and service, demonstrating a strong commitment to the highest standards in music and achieving significant professional stature. They must also demonstrate proficiency in the other criteria: teaching, research/creativity, and service.
 - iii. The Dean shall notify each Division Head in writing of all faculty in that Division who are eligible for promotion. Each Division Head shall notify the Dean in writing of all Division faculty who are being put forward for consideration for promotion. The Dean may also place a name under consideration for promotion, or an individual may request such consideration.
 - iv. Promotion to associate professor may occur at the same time as the awarding of tenure.
 - v. Promotion to professor normally occurs after six years in the rank of associate professor.
 - vi. Timelines and evaluation procedures will be consistent with those outlined for tenure reviews.

5. Periodic Career Review

The objective of the Periodic Career Review is to ensure that the faculty member's performance and contribution to the School of Music remain at a satisfactory level, consistent with the standards applied for promotion to the current rank, and with the expectations implicit in the faculty member's Annual Work Plans. Faculty members with tenure shall undergo a career review after every fifth year of service. A promotion review shall replace a career review for the period in which the promotion occurs. When the review period ends in a sabbatical (or other leave), the career review shall be deferred until the next academic year.

- a. If the faculty member under consideration has five consecutive positive annual reviews for the preceding five years, this shall be construed as constituting a positive Periodic Career Review, and a letter attesting to such shall be placed in the faculty's personnel file.

- b. If a tenured faculty member receives an unsatisfactory annual review, a three-member committee selected by the Faculty Committee from that faculty member's Division, when possible, shall be appointed to evaluate the review. If the review is found appropriate, then the committee shall recommend strategies for improvement. If the review is found inappropriate, then the committee may encourage a response from the faculty member through the appropriate channels.
- c. If a faculty member receives two or more unsatisfactory annual reviews during a given five-year cycle, then a periodic career review is required. While materials gathered during prior annual reviews will be used in this review process, this review will be more comprehensive and the following considerations will apply.
 - i. The file shall include among other things a current vita, the five preceding annual reviews, and the five corresponding Annual Work Plans and Professional Activities Summaries.
 - ii. The Periodic Career Review will originate in the faculty member's Primary Division. The Division Head shall convene a meeting of the Division faculty to evaluate the file of the candidate in light of the criteria and standards above. All full-time tenured and probationary faculty with a primary appointment to the candidate's Division are expected to participate in the review, and non-tenurable (term and part-time) Division faculty as well as those with a secondary appointment in the faculty member's Division are encouraged to do so. The Division Head and Division faculty members will vote "proficient" or "non proficient" by secret ballot. Only full-time tenured and probationary members of the primary Division faculty are eligible to vote, and all are required to vote with the exception of the candidate. The Division Head shall submit the vote of the Division by letter, including salient points of the discussion, to the Personnel Committee within one week of the division vote. The faculty member shall be informed of the outcome of the vote immediately.
 - iii. The Personnel Committee's recommendation shall characterize the faculty member's contribution as "proficient: meeting unit criteria" or "not proficient: not meeting unit criteria". In the case of an unsatisfactory recommendation, the Personnel Committee shall also include a letter explaining the basis on which its decision was made.
 - iv. Faculty members whom the Personnel Committee finds to be "not proficient" or "unsatisfactory" who fail to improve their performance to proficient levels, even after completion of professional development programs, shall be liable for appropriate disciplinary action as specified by The Redbook, Article 4.5.
- d. During the Spring semester, the Dean shall notify each Division Head in writing of all faculty in that Division who must undergo a periodic career review. The Dean shall inform the Personnel Committee, the faculty member or members under consideration, and other full-time members of the faculty who must be considered for a periodic career review.
- e. Timetable for Unsatisfactory Periodic Career Review
 - i. Faculty whose performance is judged deficient shall have thirty calendar days after the completion of the career review to develop, in consultation with the Dean, a career development plan to remedy the deficiencies in one year, unless the Dean approves a longer period (The Redbook, Section 4.2.4).

- ii. Upon successful completion of such a professional development plan, the faculty member shall then have one year to demonstrate satisfactory performance and will be reviewed at the end of the year in a special career review according to the same standards applied prior to the professional development plan (The Redbook, Section 4.2.4).

E. Contents of the Review File

1. The faculty member shall assemble the following types of documentation for any type of review file.
 - a. A current Curriculum Vitae, copies of the faculty member's Annual Work Plans and Professional Activities Summaries for each of the years under review. Evaluations shall consider only those areas of activity for which the approved Annual Work Plan indicates the faculty member's responsibility.
 - b. Articles, programs, books, scores, recordings, or other such evidence of professional activities.
 - c. Documentation of service to the University, the profession, and the community.
 - d. In addition, faculty may wish to include any other item that contains information concerning criteria listed in previous sections.
2. The following types of documentation, when required as per the specific guidelines following, shall be assembled by the Division Head of the faculty member's primary appointment, with the assistance of the Dean's Office staff as necessary.
 - a. Peer evaluation of instruction.
 - b. Student course evaluation forms for the period under review, as archived by the office.
 - c. Letters of recommendation or review by persons in the Division, the School of Music, the University, or outside the University (including alumni), and the faculty of other areas in which the faculty member may have taught during the period of review. Although these letters are to be solicited by the Division Head, the faculty member under review may submit a list of names for this purpose. Letters from current students should not be solicited as the student course evaluation forms provide a format for such input.

III. Committees

A. Committee Structure

1. There shall be both standing elected committees and standing committees whose members are appointed or otherwise designated.
2. Terms of office for elected committees shall be for three years, determined in such manner that terms are staggered and no more than one-third of the membership is changed in any annual election.
3. Except where stated otherwise, the regular members of each committee shall select a chair from among their number at the first meeting of each academic year.

B. Standing Committees

1. Awards Committee

- a. Membership: The membership shall consist of four full-time faculty members, with Academic and Performance Faculties represented by at least one person each, as well as one representative of the School of Music Alumni Council. Alternates may be selected as necessary.
- b. Duties
 - 1) To accept nominations from the faculty for such awards as Alumni Fellow, Distinguished Alumni, and other such university-wide award programs and to prepare a slate of faculty members for awards offered by the University or the School of Music for submission to the Dean of the School of Music.
 - 2) To inform the faculty concerning awards, regulations, and criteria governing them, and the methods of application or nomination.
 - 3) To propose other awards or changes in the criteria or the procedures concerning awards to the administration of the School of Music.
 - 4) With the approval of the Dean of the School of Music, three members may individually serve as representatives of the School of Music on the three awards committees (teaching, research, and service) of the University.

2. Graduate Studies Committee

- a. Membership: There will be eight members as follows: six shall be selected from among the graduate faculty, with Performance and Academic Faculties to be represented by three members each; one graduate student shall be appointed by the Director of Graduate Studies; and the Associate Dean shall serve ex officio as a non-voting member. This committee will be chaired by the Director of Graduate Studies, who will also serve as one of the three representatives from his or her concentration. Alternates may be selected as necessary from among the full-time graduate faculty of the School of Music.
- b. Duties
 - 1) To oversee the graduate curricula and to originate, receive, and pass upon all courses offered in the Graduate Division. All decisions/ recommendations made by this committee must go to the full faculty for vote with the exception of student petitions.
 - 2) To consider and evaluate admission requirements, procedures for establishing candidacy, examinations for graduation, and all academic policies for all graduate degrees.
 - 3) To approve the choice of all major advisors and advisory committees of masters' candidates, as well as University of Louisville dissertation committees in the joint Ph.D. program in Musicology with the University of Kentucky.
 - 4) To establish policies, procedures, and standards for graduate theses or other culminating projects.
 - 5) To rule on any petitions for variation from printed graduate curricula.

3. Undergraduate Studies Committee

- a. Membership: There will be eight members as follows: Performance and Academic Faculties shall be represented by three members each; one undergraduate student shall be chosen by the Student Council; and the Associate Dean shall serve ex officio as a non voting member. This committee will be chaired by the Director of Undergraduate Studies, who will also serve as one of the three representatives from his or her concentration. Alternates may be selected as necessary from among the full-time faculty.
- b. Duties
 - 1) To evaluate all undergraduate curricula of the School of Music.

- 2) To present all decisions/recommendations regarding undergraduate curricula of the School of Music to the full faculty for vote.
 - 3) To approve all undergraduate courses offered by the School of Music.
 - 4) To be responsible for the effectiveness of the several curricula and the establishment of appropriate levels of student academic and performance achievement.
 - 5) To be responsible for the coordination of related subject areas and to guard against excessive overlapping of course offerings.
 - 6) To be responsible for the establishment of the appropriate aims and objectives for the several curricula and to develop a sound educational philosophy for the effective functioning of the School of Music.
 - 7) To be aware of the recommendations of the several accrediting agencies, of the education policies and instructional practices of neighboring institutions.
 - 8) To rule on any petitions for variation from printed undergraduate curricula.
4. Music Library Advisory Committee
- a. Membership
 - 1) There shall be five voting members, as follows: four faculty members, of at least two shall be members of the Graduate Faculty and at least one shall be from the Music History Division, and one student elected by the Student Council.
 - 2) The University Librarian and the head of the Dwight Anderson Memorial Library, or representatives appointed by them, shall serve ex officio as non-voting members.
 - b. Duties
 - 1) To assist the Librarian in any phase of the operation of the Music Library which the Librarian shall deem appropriate. However, while the committee must function as an advisory committee to the Librarian, it shall be independent in its consideration of its recommendations and have an independent responsibility towards the Music Library.
 - 2) To make recommendations regarding the growth and performance of the Music Library.
 - 3) To serve as liaison with the Divisions and the faculty at large for the purpose of engaging the faculty in the task of building and using the Music Library's collection.
 - 4) To solicit on a regular basis recommendations from the faculty for acquisitions.
 - 5) To recommend to the Librarian such programs as may encourage the use of the Library.
 - 6) To assist the Librarian in obtaining support for the enrichment and expansion of the Music Library.
5. Personnel Committee
- a. Membership
 - 1) The Personnel Committee shall consist of five members, with its membership varying in part with each candidate up for review. It will consist of a core of two tenured full professors (one representing the Performance Faculty and one representing the Academic Faculty) and three ad hoc members selected by the Faculty Committee (two chosen from the candidate's primary concentration and one from the other concentration). The candidate's primary activity, and ancillary activities, if any, shall be represented by at least one member of the Committee. Ad hoc members shall be tenured and, in the case of promotion actions, hold the rank equal to or greater than that sought by the candidate. In cases where a committee cannot be fully constituted according to the guidelines set out here, the Faculty Committee may qualify others to serve as ad hoc members. Division Heads shall not serve as core members,

and shall only serve on committees considering candidates from other Divisions.

- 2) In the event that a member is unable to fulfill the obligation of membership on the Committee, an alternate shall be appointed by the Faculty Committee. Alternates shall be chosen from the same represented faculty.
- b. Duties
 - 1) To conduct pre-tenure, tenure, promotion, and periodic career reviews, and to submit its recommendations to the Dean of the School of Music.
 - 2) To serve as an appeals committee in cases of dispute regarding annual reviews, including allocation of annual salary increases.
6. Faculty Committee
- a. Membership: There shall be five members, with at least one representative each from the Performance and Academic Faculties.
 - b. Duties
 - 1) To serve as the Committee on Committees and Nominating Committee for faculty committee assignments and other service liaison assignments. Nominations for committee service will be solicited by this committee, in writing, each spring so that the committee can prepare a slate of nominees to the faculty by the first faculty meeting of the academic year. The committee may also submit to the Dean a list of nominees for appointed committee assignments without prejudice to the Dean's power of appointment. Every effort will be made to insure each faculty member the opportunity to serve on committees, as well as to avoid undue burden upon faculty members.
 - 2) To represent the faculty to the administration of the School or to the University, as may appear necessary or advisable.
 - 3) To review governance documents as necessary and to make recommendations for amendment to the faculty.
 - 4) To provide an information session to new and probationary faculty to review timelines, documents, and expectations.
7. Scholarship Committee
- a. Membership: The Scholarship Committee shall consist of five regular members, one alternate, and the Associate Dean who serves ex officio as a non-voting member. Of the five regular members, there must be representation from the Academic Faculty, the Performance Faculty, and the Ensembles & Conducting Division.
 - b. Duties
 - 1) To recommend to the Dean allocation of scholarship funds for entering and returning students.
 - 2) The chair shall notify the faculty of all scheduled meetings of the Committee. Any member of the School of Music faculty, full-time or part-time, shall be welcome to attend all meetings of the Scholarship Committee with voice, but no vote.
 - 3) No scholarship funds shall be disbursed without the discussion and vote of at least three voting/alternate members.
8. Diversity Committee
- a. Membership: There shall be four members, as follows: one from the Performance Faculty, one from the Academic Faculty, one student, and one representative of the Music Library. The student shall be chosen by the Student Council and the Music Library representative by the Music Librarian. The other two members shall be chosen by the Faculty Committee.
 - b. Duties
 - 1) To prepare and oversee the promulgation of the Unit Diversity Plan.

9. Technology Committee

- a. Membership: There shall be five members, as follows: two from the Performance Faculty, one from the Academic Faculty, the School of Music Technology Specialist, and the School of Music's University Information Technology Partner.
- b. Duties
 - 1) To make decisions concerning technology standards, policies, and procedure on issues within the School of Music.
 - 2) To develop and maintain the School of Music website.

10. Dean's Advisory Committee

- a. Membership: Membership shall include the Dean and Associate Dean as well as the six Division Heads, and may also include other members as appointed by the Dean. The Dean shall act as chair.
- b. Duties
 - 1) To consult on plans and directions for the School of Music.
 - 2) To recommend policies for presentation at faculty meetings for faculty approval.
 - 3) To represent the unit in grievance procedures for students as described in the Undergraduate and Graduate catalogs.

C. Special Committees

Special committees, including duties and membership, shall be by appointment.

This Policy Manual was approved by the faculty in April 2007.

Revised in May 2008.

Revised in October 2008.

BYLAWS

University of Louisville
School of Music

ARTICLE I. NAME

The name of this unit shall be the University of Louisville School of Music.

ARTICLE II. PURPOSE

The University of Louisville School of Music is committed to teaching music as an artistic, academic, and professional discipline; to fostering in a variety of ways and for diverse communities the creation, performance, study, teaching, and therapeutic use of music; and to contributing innovative musical leadership in the city of Louisville and beyond. (*School of Music Mission Statement, Spring 2006*)

ARTICLE III. FACULTY MEMBERSHIP

Section 1. The faculty shall consist of tenured, tenure-track (probationary), or term-contract (non-tenurable) faculty who hold the rank of instructor, assistant professor, associate professor, or professor in the School of Music. Faculty shall also include lecturers as appointed by contract by the Dean.

Section 2. All full-time members of the faculty may vote on all issues brought before them.

Section 3. Faculty in Phased Retirement shall retain voting privileges.

Section 4. Emeritus faculty shall not have voting privileges.

ARTICLE IV. OFFICERS AND STAFF

Section 1. The chief academic and administrative officer of the unit shall be the Dean of the School of Music. The Dean shall provide leadership to the School, working with the faculty and staff to formulate strategies in order to achieve University and unit goals.

Section 2. The Dean shall be responsible for establishing the administrative organization of the School and may recommend to the Provost the Board appointment of administrative personnel to assist in conducting the business of the unit.

Section 3. The School of Music staff shall comprise individuals employed to do tasks necessary to the operation of the School.

ARTICLE V. MEETINGS

Section 1. Regular meetings of the faculty shall be held according to a schedule determined by the Dean and published before the beginning of the first week of classes. Special meetings on a specific agenda topic may be convened at the written request of a majority of voting members of the faculty. On such occasions, written and/or electronic notification of the meeting shall take place at least three working days prior to the special meeting.

Section 2. A quorum shall consist of 67% of voting members. In deciding issues not related to amendment of the governance documents, voting shall take place by show of hands, or other sign if requested by a voting member of the body. Approval of motions not related to amendment of the governance documents shall require one-half the number of eligible voters present at the meeting plus one additional vote.

Section 3. On questions concerning the conduct of business, Robert's Rules of Order shall be the authority.

ARTICLE VI. AMENDMENTS

Section 1. Any proposed amendments to School of Music governance documents shall be considered by the faculty in written form. Such proposals shall be discussed in at least one faculty meeting, and the final version of the proposal shall be distributed to faculty in paper form or electronically within 48 hours after the meeting in which such discussion takes place.

Section 2. Amendments shall require votes cast by at least 80% of faculty eligible to vote. Approval shall require an affirmative vote of 67% of the number voting.

Section 3. Votes shall be taken by paper ballots submitted in signed envelopes.

Section 4. Voting shall take place by written ballot within seven days of distribution of the amendment, with the provisos that, 1) this meeting shall follow the discussion meeting by a period of at least 10 calendar days, and 2) no further discussion will be permitted at this meeting. In cases where it is deemed unnecessary or impractical to convene a second meeting for the purpose of voting, such as at the end of a spring semester, the Dean may request that ballots be submitted directly to the Assistant to the Dean by an appointed date which shall be after a 10 calendar day interim. Such ballots may also be submitted by fax, although such ballots must be signed. "Absentee ballot" shall be understood to be written instruction to vote, and not any specific form.

Section 5. Absentee ballots on governance issues will be accepted by mail or fax until the end of business on the fourth business day following the vote. If by mail, they must be submitted in a separate, signed envelope. If by fax, they must be signed.

ARTICLE VII. COMMITTEES

Section 1. Specified responsibilities of School of Music governance shall be carried out by committees constituted from the faculty. Standing committees of the faculty shall be specified in the School of Music Policy Manual.

Section 2. Ad hoc committees may be constituted by the Dean for a specific purpose and duration.

ARTICLE VIII. AUTHORITY

Section 1. Governance documents of the School of Music shall include the Bylaws and the School of Music Policy Manual. In all matters of policy, the governance documents of the School of Music shall not be in conflict with university policy as defined in The Redbook.

Section 2. These Bylaws shall be in force in combination with the School of Music Policy Manual.

CERTIFICATION

These Bylaws were approved by the faculty in May 2006. Revised in May 2008.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING BYLAWS OF THE KENT SCHOOL

Personnel Committee – July 30, 2009
Board of Trustees – July 30, 2009

RECOMMENDATION:

The President recommends:

That the Board of Trustees approves the revised bylaws for the Kent School in the form attached, to be effective immediately.

BACKGROUND:

These revisions were approved by the Kent School Faculty, the Faculty Senate at its July 1, 2009 meeting, and reviewed by University Counsel and the Provost Office.

Committee Action:
Passed: _____
Did Not Pass: _____
Other: _____

Board Action:
Passed: _____
Did Not Pass: _____
Other: _____

Assistant Secretary

Assistant Secretary

Bylaws, Kent School, Approved By Faculty, December 4, 1997; Approved by the Board of Trustees, June 22, 1998
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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

ARTICLE I

Preamble OF THE RAYMOND A. KENT SCHOOL OF SOCIAL WORK

The Raymond A. Kent School of Social Work at the University of Louisville (the Kent School) provides excellent academic programs and professional development in social work and in marriage and family therapy consistent with the professional mandate and the mission of the University. The Kent School is committed to providing the means by which all those within the structure of the school have a voice about matters pertaining to the school.

ARTICLE II

STRUCTURE OF THE KENT SCHOOL

Administration and governance of the Kent School shall be the responsibility of, and shall be executed by the Dean, faculty, staff and student body as established in these Bylaws.

Section A. Dean of the Kent School

The Dean of the Kent School shall be the principal academic and administrative officer of the School in accordance with the authority delegated under The Redbook and duly approved University policies.

The Dean of the Kent School shall be responsible directly to the Executive Vice President and University Provost for effective administration and conduct of the School's academic programs. The Dean shall be responsible for representing the views of the faculty to the Executive Offices of the University. Duties of the Dean shall include assuring adherence to the duly authorized policies, procedures, and regulations adopted by the Kent School Faculty, appropriate University officers, and the Board of Trustees.

1. Appointment

The Dean of the Kent School shall be appointed by the Board of Trustees on the recommendation of the President in accordance with all applicable sections of The Redbook.

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

2. Selection and Review

The procedures for the selection and review of the Dean shall be consistent with the applicable provisions of The Redbook and in conformity with the University guidelines on search procedures.

3. Responsibilities

The duties and responsibilities of the Dean are outlined in The Redbook, Section 3.2.2., and the job description approved by the President and the Faculty includes: (a) coordinating academic programs within the Kent School; (b) preparing a strategic plan and priorities for action for the Kent School; (c) creating an environment that facilitates research and scholarly activity; (d) developing and promoting public service; (e) administering personnel actions; (f) developing and administering the Kent School's budget; (g) submitting an annual report to the Executive Vice President and University Provost; and (h) promoting the Kent School through fund-raising and alumni activities.

Section B. The Faculty

The Faculty of the Kent School shall consist of all full-time personnel holding academic rank, as described in Article 4.1, Section 4.1.1 of The Redbook, and a primary appointment in the Kent School and all persons holding part-time instructional appointments in the Kent School as described in Article 4.1, Section 4.1.2 of The RedBook.

The Faculty shall have general legislative powers over all matters pertaining to its own affairs as established by these Bylaws and in Sections 3.3.2. and 3.3.3. of The Redbook. Governance of each academic program rests with the faculty duly appointed in that academic program.

Full-time and part-time faculty are entitled to represent the Kent School on standing or appointed University committees except where prohibited by these and other Bylaws.

Voting faculty are full-time tenured, full-time probationary, and full-time term faculty members. Full time term faculty members do not vote on tenure and promotion of probationary and tenured faculty. Part-time faculty can only vote in committees in which they have voting rights and privileges.

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

Section C. Professional & Administrative Staff and Classified Staff

1. Professional and Administrative Staff

Professional and Administrative positions are exempt positions. These positions are subject to the University's position classification plan meeting the exemption test prescribed by Kentucky Labor Law as determined by University Personnel Services. These positions are paid a salary rather than an hourly rate and are not entitled to overtime pay.

2. Classified Staff

Classified staff are nonexempt positions. A classified position is a regularly established position assigned to a classification which, by definition under the Fair Labor Standards Act, would not be exempt from overtime provision of the Act.

Section D. Students

The students of the Kent School shall consist of those students who have been admitted into one of the academic programs as defined in Article II, Section E.

Section E. Academic Programs

The programs of the school shall consist of those academic degrees or programs in the school that have been approved by the Faculty and recognized officially by the University.

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

ARTICLE III

GOVERNANCE

Section A. Specific Responsibilities of the Dean

The responsibilities of the Dean shall include, but not be limited to:

1. Chairing meetings of the Faculty and Assembly.
2. Holding annual elections for officers and standing committees.
3. Convening standing committees and the timely election of their chairs.
4. Appointing such ad hoc or special committees as may be necessary.
5. Submitting an Annual Report to the Faculty.
6. Preparing slates of nominees to fill vacancies on University and Kent School committees and bodies requiring representatives.

Section B. Specific Responsibilities of the Faculty

As part of its general legislative power over all matters pertaining to its own affairs, the duties of the Faculty shall include, but not be limited to:

1. Assisting in the development and review of the Kent School's strategic planning and priorities for action.
2. Identifying and exploring areas of faculty concern and recommending appropriate action to the Dean of the Kent School.
3. Recommending to the Dean specific actions and programs to achieve the overall goals of the Kent School.
4. Advising the Dean on matters related to the mission, budget, and planning of the school.
5. Promoting collaborative academic, research, and service efforts of the Kent School.

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6. Maintain academic and programmatic excellence through development, refinement, implementation and review of the curriculum.
7. Reviewing and submitting recommendations to the Dean for proposals for establishing new degree programs or the dissolution of existing programs.
8. Recommending personnel actions to the Dean based on recommendations of the Personnel Committee.
9. Creating from its membership standing and special committees, and electing representatives necessary to conduct its business.
10. Inviting staff and student input in matters related to the overall health and function of the Kent school.

Section C. Meetings

Meetings include regular and special faculty meetings. All faculty and committee meetings in the Kent School shall be conducted according to Robert's Rules of Order.

1. Faculty Meetings
 - a. The Dean shall convene the Faculty during the Fall and Spring semesters and at other times as needed.
 - b. The agenda for such meetings shall be prepared by the Office of the Dean with input from the faculty. Written notification of meetings with agendas shall be sent to all members of the faculty no later than 1 day prior to the date of the meeting.
 - c. A quorum of the Faculty shall consist of 51% of the total voting Faculty.
 - d. Minutes of all faculty and Kent assembly meetings shall be distributed to all voting and non-voting members of the faculty and be kept on file in the Dean's office.
2. Faculty Meetings at the request of Faculty Member(s)
 - a. Any faculty member(s) can request of the Dean to call a special faculty meeting at other times than regular scheduled faculty meetings. The Dean and requesting faculty member(s) will discuss the nature of the request and

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the Dean will decide on whether to call the special faculty meeting. If the request is denied, and the faculty member(s) wants to pursue the matter further, the faculty member can petition the voting faculty for the meeting to take place. The meeting shall be convened if the faculty member(s) can produce a written petition signed by 25% of the voting faculty membership.

- b. The agenda for such special meetings shall be prepared by the faculty member(s) and distributed to the Dean and all faculty members at least 1 day prior to the meeting, except in emergencies.
- c. A quorum of the Faculty shall consist of 51% of the total voting Faculty.

Section D. Assemblies and Associations

1. Kent Assembly

The Kent Assembly consists of all faculty, staff, and representatives from each student association. Its primary function is to disseminate information deemed important to the common good and overall health and function of the school. Meetings of the Assembly may be called by the Dean or through a petition submitted to the Dean by 25% of Assembly members.

2. Staff Assemblies

The Kent School recognizes that assemblies of various staff may be organized to promote and support all endeavors of classified and professional and administrative staff interests and should contribute to the overall efficiency of the Kent School and quality of education for all students as well as establish effective communication between the faculty, administration, and other appropriate bodies. These staff assemblies may determine their process of representation to other university bodies by establishing Bylaws and other documents in accordance with all University policies, The Redbook, and the Staff Handbook.

3. Student Associations

The Kent School recognizes the student associations of each academic program as organizations to support all endeavors of student interest, as well as to establish effective representation with the faculty, administration, and other appropriate bodies. They may

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establish Bylaws and other documents in accordance with all University policies, The Redbook, and the Student Handbook.

Section E. Standing Committees and Venues

Within committees all duly appointed faculty members by the Dean shall have one (1) vote. Part-time faculty representatives and student representatives shall be voting members of committees appointed by the Dean other than in committees considering matters involving personnel.

1. Faculty Personnel Committee

The Faculty Personnel Committee shall report directly to the Dean unless otherwise provided for in these Bylaws and Rules.

The Faculty Personnel Committee shall consist of five (5) tenured members elected by the Faculty to serve 3-year staggered terms. The staggering shall be created by having two people elected in a year, then two the following year, then one the third year. If a member must leave the committee before their term ends, a special election will be held to fill the remainder of their position's three-year commitment. The election process of the committee shall be determined by policies and procedures established by the Kent School faculty.

Members of the committee shall not serve concurrently as the Faculty Grievance representative. Personnel committee members seeking promotion shall not serve concurrently on the Faculty Personnel Committee. A tenured faculty member shall be elected by the faculty to fulfill the duties of the position for the time period vacated by the person seeking promotion.

A Chair shall be elected annually by the Committee from among the five members.

The Faculty Personnel Committee shall adhere strictly to the personnel policies, procedures, and standards as set forth in the Promotion and Tenure Document of the Kent School.

The Faculty Personnel Committee shall establish procedures for faculty searches and deliberate all matters concerning appointments and promotions, changes in faculty classification, the granting of tenure, and make appropriate recommendations to the Kent School Faculty and the Dean.

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2. Faculty Grievance Venue

Faculty grievances are received and managed by the University Faculty Grievance Committee (Redbook 4.4.1). The Kent School faculty shall elect one full-time, tenured faculty member for a two-year term as its representative to the University Faculty Grievance Committee. It will also identify another faculty member, similarly qualified, as an alternate member (Redbook 4.4.1.B.4). No person currently engaged as a grievant or respondent in a grievance is eligible to serve on the committee. No person can concurrently serve on this committee and also on the Personnel Committee of the school.

3. Faculty Affairs Committee

The Faculty Affairs Committee includes all full-time faculty. Faculty affairs are the purview of the Faculty of the Kent School who meet at the call of the chair. The chair will be elected annually by the Faculty and must be tenured. Any faculty may bring a concern to the chair. The chair will ensure that regular meetings are held in the Fall and Spring and at other times as needed/requested.

The primary responsibility of the Faculty Affairs Committee is the overall welfare of the faculty, including the maintenance of an academic climate that facilitates each faculty person's right to direct scholarly expression in her/his teaching, research, publications, and associated activities.

4. Curriculum Committee¹

The Curriculum Committee shall consist of Sequence² Chairs who are full-time teaching faculty elected annually by full-time faculty teaching in that sequence from each of the

¹ Note: For the purposes of the doctoral program, the Director of the Doctoral Program will coordinate curriculum development and oversight activities and protocols with the doctoral faculty.

² Note: A sequence is made up of all faculty members who teach the same course(s). For instance, all faculty teaching social work research would be considered members of the research sequence. The research sequence chair is elected from among the faculty who are members of the research sequence. At the Kent School of Social Work, sequences consist of the core curriculum content areas: Human Behavior in the Social Environment (HBSE), Social Work Practice, Social Work Research, Social Welfare Policy, Human Diversity, and Field Education.

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curriculum areas ,a faculty representative elected by faculty from the Marriage and Family Therapy (MFT) program, a faculty representative elected by faculty from the Bachelors in Social Work (BSW) program, a part-time faculty representative elected by the part-time faculty, and a student representative from the Kent School Student Association (KSSA). The Associate Dean for Academic Affairs will serve in an ex-officio role in this committee.

The Dean will appoint the chair of the committee from the membership of the curriculum committee, taking into account recommendations from the faculty. The Dean will consult with the Kent School Student Association to appoint a student representative to the committee.

If a member must leave the committee before the term has ended, the sequence which the member represented will elect a new chair to fill the remainder of their commitment.

Other faculty and students may participate in committee discussions when warranted. However, only curriculum committee members shall have a vote in matters related to the curriculum within this committee.

The function of the Curriculum Committee shall be to ensure that the existing and proposed courses comply with university and school mission and standards for accreditation, facilitate all accreditation reviews of the curriculum, ensure quality education and integration of key content across the curriculum while minimizing unnecessary duplication, and coordinate the work of the Sequence Chairs.

5. Diversity Committee

The Diversity Committee shall consist of a minimum of three members, with at least one being a full-time member of the faculty and one, a full-time member of the staff. At the coordination of the Dean, an election will be held for a faculty and staff member to serve terms of three years. Terms may be renewed. The Dean will consult with the Kent School Student Association to appoint at least one student representative to the committee. The Chair will be appointed by the Dean, taking into account the recommendation of the committee.

The function of the Diversity Committee shall be to coordinate with the University's diversity plan, develop and recommend a Diversity Plan for the School, monitor, in coordination with the Outcomes Committee, the assessment of diversity objectives, plan

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activities for the School that promote the interests of an increased diversity profile and educational context.

6. Outcomes Committee

The Outcomes Committee will be chaired by the Associate Dean for Academic Affairs. Additionally, the Chair of the Curriculum Committee, Directors of the Bachelors in Social Work, Doctoral and Marriage and Family Therapy programs will serve on this committee. The Dean may appoint additional committee members and confer with the Kent School Student Association to seek student representation.

The function of the Outcomes Committee shall be to develop and monitor outcomes measurement protocols for the school and coordinate all assessment activities, collect and disseminate all outcomes data, and coordinate outcomes reports for university and accrediting bodies.

7. Research and Scholarship Committee

The Research and Scholarship Committee will be chaired by the Associate Dean for Research. All Principal Investigators will serve on this committee. Additionally, the Associate Dean for Research may appoint staff from the office of the Associate Dean for Research to sit on this committee (non-voting) to support the functions of this committee. The Dean may appoint additional committee members.

The function of the Research and Scholarship Committee shall be to develop and maintain an infrastructure for research and promote research and scholarship activities of the Kent School.

8. Recruitment and Admissions Committee³

The Recruitment and Admissions Committee of each academic program will be elected by the respective faculty and be chaired by the Director of the respective program with the exception of the Master of Science in Social Work (MSSW) program, which will be

³ Note: For the purposes of the doctoral program, the Director of the Doctoral Program will coordinate recruitment and admissions activities and protocols with the doctoral faculty.

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chaired by the Associate Dean for Student Services. The Dean may appoint additional committee members to each academic program's Recruitment and Admissions committee.

The function of the Recruitment and Admissions Committee shall be to coordinate and monitor the recruitment and admission of students, coordinate with the Diversity Committee activities to ensure a diverse student body, admit students to the Kent School, develop and implement protocols for scholarships, and make awards accordingly, and coordinate with the Outcomes Committee protocols to measure effectiveness of recruitment efforts and admission practices.

9. Student Grievance Committee

The Student Grievance Committee shall consist of two (2) faculty members elected by the Faculty each to serve a one (1) year term, one of whom shall serve as Chair, and one (1) student representative. The election process of the Student Grievance Committee shall be determined by policies and procedures established by the Kent School.

The function of the Student Grievance Committee shall be to receive and take appropriate action on all student academic grievances in accordance with procedures in Section 6.8.3 of The Redbook and develop procedural guidelines consistent with Section 6.8 of The Redbook.

Section F. Other Committees

The Kent School Faculty may establish other standing and ad hoc committees derived from and consistent with its mission, in accordance with University policies, the Redbook, these Bylaws, and the Kent School's established Policies and Procedures.

Section G. Notification of Committee Meetings

Notice of all committee meetings shall be sent to the Dean.

Bylaws, Kent School, Approved By Faculty, December 4, 1997; Approved by the Board of Trustees, June 22, 1998
Bylaws, Kent School, Amended By Faculty, 1/22/03; 9/21/05; Amended, Revised, and Approved by Faculty January
21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

ARTICLE IV

ADOPTION AND AMENDMENT OF THE KENT SCHOOL BYLAWS

Section A. Procedures for Approval of Adoption and Amendments

Adoption and Amendment of the Kent School Bylaws requires that final proposed documents be distributed to each member of the Faculty, as defined in Article II, Section B) at least ten (10) working days prior to a formal ballot. A vote on Adoption or Amendment shall take place at a Faculty meeting by closed, written ballot. Approval of adoption or amendment shall require a two-thirds majority of the ballots cast. No absentee or proxy ballots shall be accepted. Kent School Bylaws or amendments shall take effect immediately upon approval by the President and the Board of Trustees. No Kent School Bylaws or amendments are effective until such approval has been granted.

Section B. Initiation of Amendment

Amendment of the Kent School Bylaws can be initiated by any member of the Kent School Faculty. A discussion forum shall be convened according to the provisions of Article III, Section C of these Bylaws. Approval shall follow procedures specified in this Article, Section A.

RECOMMENDATION TO BOARD OF TRUSTEES

July 30, 2009 (Personnel Committee)

July 30, 2009 (Board of Trustees)

The President recommends:

That the following personnel recommendations be approved by the Board of Trustees.

COLLEGE OF ARTS AND SCIENCES

Jason Abbott, Ph.D., Nottingham Trent University; Associate Professor of Political Science, with tenure, and additional appointment as the Aung San Suu Kyi Endowed Chair in Asian Democracy, July 1, 2010.

Nefertiti Burton, M.F.A., Associate Professor of Theatre Arts; additional appointment as Associate Dean for International Programs, Diversity and Outreach, July 30, 2009. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

COLLEGE OF EDUCATION AND HUMAN DEVELOPMENT

Robert N. Ronau, Ph.D., Professor, Department of Teaching and Learning; termination of additional appointment as Associate Dean for Research and Graduate Studies, July 31, 2009.

SCHOOL OF INTERDISCIPLINARY AND GRADUATE STUDIES

Paul J. DeMarco, Ph.D., Professor of Psychological and Brain Sciences, College of Arts and Sciences; promotion from Assistant Dean to Associate Dean for Interdisciplinary Programs, School of Interdisciplinary and Graduate Studies, July 30, 2009. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

SCHOOL OF PUBLIC HEALTH AND INFORMATION SCIENCES

Kathy Baumgartner, Ph.D., Associate Professor of Epidemiology and Biostatistics; additional appointment to the Henry Vogt Professorship in Cancer Prevention and Control, October 1, 2009.

Shesh Rai, Ph.D., Associate Professor of Bioinformatics and Biostatistics ; additional appointment as the Wendell Cherry Chair in Clinical Trial Research, October 1, 2009.

SCHOOL OF NURSING

Robert Topp, Ph.D., Professor of Nursing and Shirley Powers Endowed Chair in Nursing Research; additional appointment as Assistant Dean of Research, July 30, 2009. The appointment as Assistant Dean is at the pleasure of the Board of Trustees.

MINUTES OF THE REGULAR MEETING OF THE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

IN OPEN SESSION

Members of the University of Louisville Board of Trustees met at 1:15 p.m. on Thursday, June 11, 2009, in the Jefferson Room of Grawemeyer Hall, with members present and absent as follows:

Present: Mr. Owsley B. Frazier, Chairman
Ms. Marie Abrams
Mr. Ron Butt
Mr. Brent Fryrear
Dr. Salem George
Ms. Margaret Handmaker
Dr. Robert Curtis Hughes
Ms. Rebecca Jackson
Prof. Melissa Laning
Ms. Jessica Loving
Ms. Brucie Moore
Mr. OJ Oleka
Mr. Steve Poe
Mr. J. Chester Porter
Ms. Debbie Scoppechio
Dr. William Selvidge
Ms. Sandy Metts Snowden
Mr. William Stone

Absent: Mr. Jonathan Blue
Mr. Frank Minnifield

From the
University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. Larry Cook, Executive Vice President for Health Affairs
Dr. Manuel Martinez-Maldonado, Executive Vice President for Research
Ms. Angela D. Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance
Mr. Larry Owsley, Vice President for Business Affairs
Dr. Tom Jackson, Vice President for Student Affairs
Ms. Priscilla Hancock, Vice President for Information Technology
Ms. Kimberly Maffet, Interim Vice President for Human Resources
Ms. Mary Griffith, Senior Associate VP, University Advancement
Ms. Susan Ingram, Director of Budgets
Mr. John Drees, Associate VP for Marketing

Mr. Jason Tomlinson, Assistant VP for Finance
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Kathleen M. Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison
Dr. Don Miller, Director James Graham Brown Cancer Center
Mr. Ty Wilburn, Advanced Cancer Therapeutics
Mr. Dale Boden, Chairman, Advanced Cancer Therapeutics
Mr. Randy Riggs, President & CEO, Advanced Cancer Therapeutics

I. Call to Order

Having determined a quorum present, Chair Frazier called the meeting to order at 1:15 p.m.

II. Consent Agenda

A. Approval of Minutes

- Minutes from Board Meeting, April 2, 2009

B. From the Academic & Student Committee

- Approval of the Creation of MS in Applied Geography
- Approval of Resolution of Appreciation, Rudy Spencer

C. From the Personnel Committee

- Approval of Monthly Personnel Recommendations (May, June)
- Approval of Delegation of Signature Authority for Administrative Matters
- Approval of Alumni Fellow Award (Law School)
- Approval to Ratify Decision in Administrator Grievance
- Approval of QCCT board appointment

D. From the Finance Committee

- Approval of 2009-10 Operating Budget
- Approval of 2009-10 Tuition Rate
- Approval of Reduction in Health and Sport Sciences Activity Fee
- Approval of Reduction in SPHIS Technology Fee
- Approval of 2009-10 Housing Fees
- Approval of 2009-10 Meal Plan

Chair Frazier read the roll of consent agenda items. Hearing no objection, Ms. Jackson made a motion, which Dr. Hughes seconded, to approve the consent agenda. The motion passed.

III. Approval of Renovation of Ernst Hall

President Ramsey reported the University received a \$20 million gift to establish the Conn Center for Renewable Energy Research and Environmental Stewardship to be operated at the Speed School of Engineering. The following \$1.5 million project is needed to accommodate the Conn Center moving into Ernst Hall. Ms. Abrams made a

motion, which Ms. Snowden seconded, to approve the

President's recommendation that the following project be approved:

<u>PROJECT:</u>	<u>ESTIMATED COST:</u>	<u>FUND SOURCE:</u>
Renovation of Ernst Hall	\$750,000	General Funds
	<u>\$750,000</u>	Private Funds
	\$1,500,000	

The motion passed.

IV. Report of the President

President Ramsey reported the Governor will hold a special legislative session to address the anticipated state budget shortfall. Although many items were cut from the budget, Bucks for Brains has remained.

President Ramsey reported his participation in the first-ever stockholders meeting of the Advanced Cancer Therapeutics. Advanced Cancer Therapeutics (ACT) is leading cancer drug innovation within the biotechnology industry. Founded in January 2007, the company is focused on the discovery and early development of new cancer therapeutics as well as selection for partnerships for commercialization and manufacture of the most promising discoveries. Utilizing its business arrangement with the James Graham Brown Cancer Center and the University of Louisville Research Foundation, ACT will establish exclusive rights to specific novel therapeutics and fast-track these leading edge discoveries to the pharmaceutical industry, and ultimately the patients who will benefit. Dr. Ramsey introduced Dr. Don Miller, investors Chairman Dale Boden, (ACT Board) Ty Wilburn and President Randy Riggs. Highlighting events which led to the creation of ACT, Dr. Ramsey began with 1) the approval of House Bill 1; 2) the hiring of Dr. Don Miller as a Bucks for Brains endowed professor; 3) Dr. Miller's recruitment of an outstanding research team; and 4) development of Therapeutic AGRO100, which binds only to cancer cells; and 5) the creation of new biotech corporation.

Dr. Miller shared ACT's business strategy, which leverages an innovative arrangement with the James Graham Brown Cancer Center and the breakthrough discoveries made by more than fifty research scientists who work there. Utilizing premier contract research organizations (CRO's), ACT will identify, select and rapidly advance the most promising anti-cancer products from the preclinical stage of development through completion of Phase I clinical trials. ACT will then evaluate various value-driven strategic options for further advancement of these products into mid and late stage clinical trials in anticipation of quickly reaching the market. Every new biotechnology company has a business plan or strategy, but through its unique business relationship with UofL's James Graham Brown Cancer Center, Advanced Cancer Therapeutics is uniquely positioned to advance the most appealing discoveries among a portfolio of products and to make a positive impact in the lives of cancer patients.

Mr. Boden discussed the partnership between the University and the Owensboro Medical Center. The Owensboro Medical Center has moved into plant-based drug development.

In pursuit of its mission, advancing tomorrow's discoveries, ACT has obtained exclusive licenses to two novel anti-cancer small molecule compounds as well as a pharmaceutical vaccine for human papillomavirus (HPV) derived from tobacco plants.

Messrs. Wilburn and Riggs discussed fundraising strategies and opportunities. President Riggs discussed the DataSeam initiative, a not-for-profit entity working with K-12 schools to use uncommitted computer resources for scanning compounds. DataSeam implemented a grid of 70 PC's in the Caldwell County School District and has been running background screening of research materials on these machines when not in use by the schools' students. He noted this initiative demonstrates value-added to the taxpayer because the partnership puts the computers to greater use. The relationship allows comparison of the effects of drug compounds against a database of thousands of molecules. This may eventually lead to a drug specifically targeted at proteins found only on the surface of cancer cells, which could result in cancer treatment without side effects. Chair Frazier thanked Dr. Miller and his team for an excellent report.

V. Executive Session

Ms. Scoppechio made a motion, which Ms. Loving seconded, to go into executive session to discuss a personnel matter.

VI. Open Session Reconvenes

The open session reconvened at 3:20 p.m. Chair Frazier reported the board members discussed a personnel matter. No action was required. Chair Frazier complimented President Ramsey for the superb job he has done and recognized his leadership in connecting the University with the surrounding community. Chair Frazier appointed a committee to negotiate an extension of the President's contract to insure the strategic plan 2020 maintains its momentum. Chair Frazier asked Mr. Porter, past chair of the trustees and current chair of the UofL Foundation board, to serve as chair of this committee. Ms. Abrams made the following motion, which Mr. Stone seconded,

The Board instructs the Executive Committee, along with the faculty, staff and student trustees, to work with President Ramsey to extend his employment contract beyond 2012. The Board further requested that Mr. Porter chair this process.

The motion passed. The Executive Committee will report back to the board at the July meeting.

VII. Adjournment

Mr. Porter made a motion, which Mr. Stone seconded, to adjourn the meeting at 3:30 p.m. The motion passed.

MINUTES OF THE REGULAR MEETING OF THE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

IN EXECUTIVE SESSION

Members of the University of Louisville Board of Trustees met in executive session on Thursday, June 11, 2009, in the Jefferson Room of Grawemeyer Hall, with members present and absent as follows:

Present: Mr. Owsley B. Frazier, Chairman
Ms. Marie Abrams
Mr. Ron Butt
Mr. Brent Fryrear
Dr. Salem George
Ms. Margaret Handmaker
Dr. Robert Curtis Hughes
Ms. Rebecca Jackson
Prof. Melissa Laning
Ms. Jessica Loving
Ms. Brucie Moore
Mr. OJ Oleka
Mr. Steve Poe
Mr. J. Chester Porter
Ms. Debbie Scoppechio
Dr. William Selvidge
Ms. Sandy Metts Snowden
Mr. William Stone

Absent: Mr. Jonathan Blue
Mr. Frank Minnifield

From the
University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. Larry Cook, Executive Vice President for Health Affairs
Dr. Manuel Martinez-Maldonado, Executive Vice President for Research
Ms. Angela D. Koshewa, University Counsel
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Kathleen M. Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

The executive session was called to order at 1:30 p.m.

II. Personnel Matters

President Ramsey briefed the board regarding the status of the neurosurgery department. Ms. Koshewa briefed the board on the status of the legal process.

The trustees discussed extending the President's employment contract.

III. Adjournment

The executive session adjourned at 3:15 p.m.

RECOMMENDATION TO BOARD OF TRUSTEES

July 29, 2009 (Personnel Committee)

July 29, 2009 (Board of Trustees)

The President recommends:

That the following personnel recommendations be approved by the Board of Trustees.

COLLEGE OF ARTS AND SCIENCES

Jason Abbott, Ph.D., Nottingham Trent University; Associate Professor of Political Science, with tenure, and additional appointment as the Aung San Suu Kyi Endowed Chair in Asian Democracy, July 1, 2010.

Nefertiti Burton, M.F.A., Associate Professor of Theatre Arts; additional appointment as Associate Dean for International Programs, Diversity and Outreach, July 30, 2009. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

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Robert N. Ronau, Ph.D., Professor, Department of Teaching and Learning; termination of additional appointment as Associate Dean for Research and Graduate Studies, July 31, 2009.

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Kathy Baumgartner, Ph.D., Associate Professor of Epidemiology and Biostatistics; additional appointment to the Henry Vogt Professorship in Cancer Prevention and Control, October 1, 2009.

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SCHOOL OF NURSING

Robert Topp, Ph.D., Professor of Nursing and Shirley Powers Endowed Chair in Nursing Research; additional appointment as Assistant Dean of Research, July 30, 2009. The appointment as Assistant Dean is at the pleasure of the Board of Trustees.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING BYLAWS AND PERSONNEL DOCUMENTS
OF THE SCHOOL OF MUSIC

Personnel Committee – July 29, 2009
Board of Trustees – July 29, 2009

RECOMMENDATION:

The President recommends:

That the Board of Trustees approves the revised bylaws and personnel documents for the School of Music in the forms attached, to be effective immediately.

BACKGROUND:

These revisions were approved by the School of Music Faculty, the Faculty Senate at its September 2008 meeting (bylaws) and January 14, 2009 meeting (personnel document) and reviewed by University Counsel and the Provost Office.

Committee Action:
Passed: _____
Did Not Pass: _____
Other: _____

Board Action:
Passed: _____
Did Not Pass: _____
Other: _____

Assistant Secretary

Assistant Secretary

POLICY MANUAL

University of Louisville School of Music

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I. Professional Duties of the Faculty

Excellent teaching is of primary importance to the School of Music. Activities including research, creative achievement, extramural performance, and service are also valuable and important both in and of themselves and because they invigorate one's teaching and bring recognition to the School. All faculty members must maintain a reasonable balance in their work so that neither teaching nor extramural professional activity is consistently neglected.

A. Classes

Faculty members are expected, as a matter of course, to meet all classes and lessons that they are scheduled to teach. If a professor must miss a private lesson, it is understood that the student will be notified as far in advance as possible and that the lesson shall be rescheduled at the earliest possible time. If a professor must miss a class, a substitute should be provided when possible.

B. Students

Faculty members are expected to maintain a professional concern about a student's continued progress, regardless of their assessment of a student's abilities.

C. Convocations

Faculty members are encouraged to attend convocations. Attendance at the opening convocation on the first day of each school year is mandatory for all faculty members.

D. Juries and Oral Exams

Faculty members (full-time and part-time) are required to attend juries within their appropriate performance areas. For graduate orals, faculty chairing thesis committees are expected to attend the oral examination of the graduate candidate. Applied faculty are expected to attend the oral examinations of their students.

E. Student Recitals

Faculty members are encouraged to attend student recitals, especially those in their area.

F. Faculty Recitals

Faculty members are encouraged to attend recitals given by faculty colleagues and concerts presented by School performing groups.

G. Faculty Meetings

Full-time members are expected to attend all faculty meetings as well as meetings of committees and other groups, both in the School of Music and the University, to which they have been elected or assigned. Part-time faculty members are encouraged to attend faculty meetings.

H. Ethics

All faculty members should cultivate professional ethics in their relationships with colleagues and students. In the event of disagreements with their colleagues, faculty should make every effort at resolving them through informal processes; the most important step should be discussions with the colleagues involved. In all instances, students should be protected and should not become a party to faculty disagreements.

II. Faculty Personnel Policies

A. Types of Reviews

In the School of Music there are five types of faculty review: annual review, pre-tenure review, tenure review, promotion review, and periodic career review. In this document, information and procedures common to all reviews are detailed first, followed by information specific to each type of review.

B. When Reviews are Conducted

1. Annual reviews are conducted each year. In years when the University budget allows for merit increases in salary, the amount of any such increase will be determined by the annual review.
2. Pre-tenure reviews are normally conducted at the mid-point of the probationary period, i.e., between the time an individual has been appointed into a tenure-track position and the time he or she is reviewed for tenure.
3. Promotion and tenure reviews: Faculty members shall normally remain in the ranks of assistant and associate professor for a period of six years each, undergoing review for promotion to the next rank during the sixth year. The review for tenure shall normally occur simultaneously with the review for promotion from assistant to associate professor.
4. Periodic career reviews: Faculty members with tenure shall undergo a periodic career review after every fifth year of service. When the review period ends in a sabbatical or other leave, the periodic career review shall be deferred until the next academic year. A promotion shall replace a periodic career review for the period in which the promotion occurs (The Redbook, Section 4.2.4).

C. General Criteria to be Used in All Reviews of Faculty

1. Teaching
 - a. The primary requirement for a positive personnel action is effective teaching. Thorough preparation, mastery of the subject matter, and effective communication thereof are essential. The individual teaching style and approach of any faculty member, however, is of necessity a matter of personal determination.
 - b. Evidence of classroom and ensemble teaching effectiveness will be gathered from careful consideration of course organization, syllabi, instructional materials, evidence of planning and preparation, knowledge of subject matter, efforts to encourage student participation, and student course evaluation forms. In the year of a promotion or tenure review, evidence will also be gathered from classroom visitation by at least two Division faculty, who shall each attend two or more classes taught by the faculty member under review in the course of a semester. The last of the observations shall take place at least three weeks before the division vote. The faculty member being observed shall have at least one-week notice prior to each observation. A written summary shall be placed in the faculty member's file within one week of the observation. The faculty member may respond in writing within one week.
 - c. Evidence of the effectiveness of studio teaching will be evaluated by the quality of student performance at convocations, juries, and concerts, and from a careful consideration of student course evaluation forms.

- d. The development of new courses or innovative, effective teaching approaches shall be considered when appropriate. A faculty member under consideration may provide evidence of such innovative approaches or new programs. In the case of major innovations, it may be thought more appropriate to consider these as creative activity.
 - e. A faculty member under consideration may present evidence of participation as a reader on graduate thesis committees. Two levels of activity with regard to recital and thesis committees shall be considered. The student's studio teacher, in the first case, and chief reader, in the second case, shall receive teaching credit for their work. Other members of both recital and thesis committees shall receive service credit instead of teaching credit for their work, unless otherwise stipulated by the Annual Work Plan.
2. Research and Creative Activity: The School of Music recognizes and encourages a diversity of contributions in musical performance and composition, scholarly research, and other sorts of creative activity. It is understood that faculty who are primarily performers or composers engage in research and creative activities, the result of which is normally performance and/or recording rather than scholarly publication.
- a. Research and creative activity may include but not be limited to publishable books and articles, performances, compositions, recordings, arrangements, demonstrations, and papers presented at professional conferences and meetings. To the extent they represent serious research and creative activity, presentations to musical and educational conventions, workshops, master classes, or seminars as well as research grant proposals and the like are also recognized. The specific standards within a division shall be determined by the division faculty.
 - b. The evaluation of research and creative activity is based on documented evidence. Research that leads to the development of major innovations in effective teaching and research methods is recognized as significant creative activity. Participation in interdisciplinary programs is encouraged and is recognized when it involves significant research and creative effort.
 - c. Non-recorded performances, such as presentations, recitals, concerts, lectures, and demonstrations to the public, shall also be considered. The faculty member under consideration must provide evidence of such occurrences by printed programs, reviews or the like.
 - d. Research or creative activity in progress may also be considered an achievement to the extent that the faculty member under consideration has developed it to the point that the quality of the work can be considered by the Personnel Committee.
 - e. In reviewing research and creative activity, both the quality and quantity of work will be considered, but quality will be considered of primary importance.
 - f. When a faculty member under review has had extraordinary teaching or service obligations during a significant part of the period under consideration, this shall be taken into account in any judgment of his or her research and creative activity.
3. Service
- a. Service to the University. Faculty participation in the governance and operation of the School of Music and the University is important in maintaining the strength of the School.

- i. Service to the School of Music entails participation in faculty meetings and faculty committees. It may also include administrative assignments, academic advising, serving on recital committees, the sponsorship of student groups or other services to students, and the performance of special tasks assigned by the faculty or Dean.
 - ii. The School of Music has an important obligation to participate actively in the affairs of the University community. Therefore, faculty members are encouraged to provide service to the University as well as to the School of Music as opportunities allow. Participation on University committees, performance of University governance or administrative tasks, and acceptance of significant advisory positions within the University shall be considered evidence of service to the University.
 - iii. The quality as well as the quantity of service to the School of Music and University shall be considered. A faculty member under consideration may provide, or the Personnel Committee may seek, evaluations of the faculty member's service, such as letters from Committee chairs testifying to the faculty member's level of participation.
- b. Service to the Profession. Service to the profession is expected of music professors. Active participation in professional organizations, service on music committees and commissions, presentations at professional education seminars, and participation in professional meetings are acceptable forms of professional service. The receipt of professional honors and awards may be evidence of professional service.
 - c. Service to the Community. Service to the community (local, state, and national) may take many forms: speeches and interviews; service on community committees, task forces and commissions; and presentations concerning the music profession to community groups, schools and the like are considered as service to the community. To be considered as service to the community, the activity should normally be related to one's status as a musician or as a professor.

4. Other Criteria

- a. A faculty member hired with the understanding that his or her professional experience upon the initial appointment is equivalent to an advanced degree may not be denied tenure and/or promotion because of the lack of such degree, unless the contract at the time of hiring stipulates the acquisition of such a degree by a specified date as a condition of continued employment. The lack of a terminal degree shall not be considered prejudicial in any subsequent personnel reviews.
- b. Scholarship, research, creative activity, and service are to be determined by the faculty within the Division.

D. Specific Guidelines for Each Type of Review

1. Annual Work Plan and Annual Review

a. Requirements and Procedures

- i. Each full-time faculty member will develop and submit for the approval of the Dean an Annual Work Plan for the coming year in consultation with the appropriate Division Head(s). The Annual Work Plan shall detail courses to be taught, as well as outline any planned research and other creative activity and service to be undertaken, and shall be consistent with The Redbook, Section

4.3.1, Annual Work Plan and Presence at the University. Once approved by the Dean, copies will be sent to the appropriate Division Head(s) and placed in the faculty member's personnel file.

- ii. The annual review shall measure achievement of the goals outlined in the Annual Work Plan and will be based on documentation of performance as outlined in this document. Faculty may also report at the time of the annual review other measurements such as, but not limited to, record of innovations in teaching, new course development, involvement in student recruitment, representation of the School of Music off-campus, and grants sought and/or awarded.
- iii. Consideration for an annual salary increase shall be based on the merit of all professional activities, regardless of whether or not an outside fee or salary was received.
- iv. Faculty may not be penalized for lack of activity in areas not assigned in the Annual Work Plan.
- v. Faculty members may place documentation that qualifies them for a salary increase in their annual review files. The Dean must base salary decisions on the contents of the review files in addition to the recommendation(s) of Division Head(s) and a review of student course evaluation forms.
- vi. The faculty member will be responsible for and shall submit a Professional Activities Summary, along with any supporting documentation. Except for new faculty, this documentation shall cover the preceding calendar year.
- vii. Decisions on the awarding of annual salary increases shall be made by the Dean in conjunction with the Division Heads. In the case of review for a Division Head, the decision will be made by the Dean in consultation with the member of that Division who has highest seniority in terms of rank and longevity other than the Division Head.
- viii. In view of the distinctive and diverse talents of the School's faculty, it is the responsibility of the group identified above to make equitable salary decisions which take into account faculty diversity and to compare and reward the faculty's diverse effort appropriately.
- ix. Probationary faculty must demonstrate proficiency in teaching, research/creative activity, and service. The evaluation of tenured faculty shall take into consideration the categories of teaching, research/creative activity and service as articulated in the Annual Work Plan, as well as the faculty member's personal and professional contributions towards the attainment of his or her Division's goals and objectives as well as those of the School.
- x. Each annual review shall summarize overall annual performance as excellent, proficient, or not proficient.
- xi. The Dean shall inform faculty members, in writing, of the performance evaluations, recommendations for improvement if necessary, and recommendations, if any, for salary increases. Each faculty member shall be given the opportunity to respond to these recommendations and his or her performance evaluation so that timely adjustments may be made before the Dean's final recommendation. (The Redbook, Section 4.2.1, Annual Reviews).
- xii. The Dean shall make to the faculty and to the University Provost an annual report which shall contain at least a frequency distribution of the percentage salary increases received by all faculty members in the unit and a description of the evaluation system used to derive such increases.

- xiii. Faculty members who feel that they have been unfairly evaluated and/or denied an annual salary increase or that the amount of their increase was not commensurate with their degree of achievement may appeal the decision to the Dean by September 1 of the same calendar year for informal resolution. The Dean shall respond by September 15. If, after having received a written response from the Dean, the faculty member continues to feel dissatisfied with the Dean's decision, he or she may file a written appeal with the Personnel Committee by September 30. The Personnel Committee will review the appeal and make its recommendation to the Dean by October 15.
- xiv. The School of Music shall archive faculty annual reviews.

b. Timetable

- i. New faculty members will complete an Annual Work Plan at the time of their initial appointment; all other faculty members will submit Annual Work Plans to the Dean by January 15 for that calendar year. Approved documents shall be placed in the faculty member's personnel file.
- ii. Faculty members may revise the Annual Work Plan in consultation with the appropriate Division Head(s), subject to approval by the Dean, no later than October 15.
- iii. The Annual Work Plan may be developed over a two- or three-year period in order to provide responsive flexibility that meets the needs of the faculty and the School of Music.
- iv. Reviews for annual salary increases shall be conducted in writing each calendar year. For new faculty, the review will encompass the period from the date of appointment to the end of the calendar year. If funding in any given year does not allow for recognition of meritorious performance, the review(s) shall be included in future merit reviews when funding is available.

2. Pre-Tenure Review

- a. Requirements, Procedures and Timetable different from those required by the Annual Review
 - i. Each probationary faculty member in the School of Music shall be reviewed at the mid-point of the probationary period at the University. The review shall be conducted at the same level of rigor and by the same process as a tenure review, except that external evaluations shall not be required. The results of the review shall be made available to the faculty member. The purpose of the review is to inform the faculty member of the unit's perception of the progress being made towards meeting the standards required for tenure. The evaluation originates in the faculty member's primary Division and proceeds to the Personnel Committee, but it shall not be considered complete until acknowledged by the Dean in a letter to the faculty member under review.
 - ii. The record compiled for pre-tenure review shall be maintained as part of the evidence to be considered in tenure review.
 - iii. During the spring semester, the Dean shall notify each Division Head in writing of all faculty in that Division who are eligible for pre-tenure review, as determined by current policy.

- iv. The Dean shall inform the Personnel Committee, the faculty member or members under consideration, and other full-time members of the faculty of the faculty members who must be considered for pre-tenure review.
- b. Additional Levels of Review for Pre-Tenure Review
 - i. Division Review and Recommendation
 - (a) The candidate shall have access to and may respond in writing to any material that is placed in the file, but neither the candidate nor anyone else shall have the right to remove anything from the file.
 - (b) The Division Head shall convene a meeting of the Division faculty to evaluate the file of the candidate in light of the criteria and standards appropriate to the type of review outlined in the governance documents. All full-time tenured and probationary faculty with a primary appointment in the candidate's Division are expected to participate in the review, and non-tenurable (term and part-time) Division faculty, as well as those with a secondary appointment in the candidate's Division are encouraged to do so. The Division Head and Division faculty members will vote by secret ballot on whether or not to recommend that the faculty member has successfully passed the pre-tenure review. Only full-time tenured and probationary faculty with a primary appointment to the candidate's Division are eligible to vote, and all are required to vote with the exception of the candidate. The Division Head shall submit the vote of the Division by letter, including salient points of the discussion, to the Personnel Committee within one week of the vote Division vote.
 - (c) The candidate shall be notified in writing of the result of the vote by the Division Head within one week of the vote. The letter providing the summary of the Division discussion shall be available to the candidate. If the vote is negative, such notification to the candidate shall be by certified mail.
 - ii. Personnel Committee Review and Recommendation
 - (a) The Personnel Committee shall make its recommendation concerning the candidate's pre-tenure review based on the materials in the review file as well as the Division review and recommendation.
 - (b) The Personnel Committee may invite the candidate or other persons as it deems necessary to appear before the Committee. Any faculty member may request such an invitation. Candidates shall be informed if any person is invited to appear before the Committee, and shall be informed of the substance of such a meeting and shall have the right to respond in writing and/or to appear before the Committee prior to the vote.
 - (c) After due consideration of all available information, the Personnel Committee shall vote by secret ballot on whether or not to recommend that the candidate has passed the pre-tenure review. The recommendation shall be by simple majority vote of the members of the Personnel Committee, and the committee chair shall attest to the results. Following the vote, the committee chair shall inform the Dean. Within one week, the committee chair shall submit to the Dean a written summary of the committee discussion and the results of the vote.

- (d) The chair of the Personnel Committee shall inform the candidate within one week in writing of the results of the vote. The candidate has the right to submit a written rebuttal to the vote.
- (e) The Dean shall report the results of the pre-tenure review to the faculty member.

3. Tenure Review

- a. Requirements, Procedures and Timetable, which differ from those required by the Annual Review
 - i. In keeping with the mission of the School of Music and the nature of music study, teaching is considered paramount to the qualifications for tenured faculty members. Candidates for advancement to tenure shall demonstrate excellence in teaching and proficiency in research/creative activity and service. They shall, in addition, give promise of continuing at these levels of performance in all of these areas. Further, in accordance with The Redbook, Section 2.5.8, they shall demonstrate adherence to professional standards.
 - ii. Completion of the probationary period with positive annual performance reviews and a positive pre-tenure review shall not in and of itself constitute sufficient grounds for tenure.
 - iii. Evaluation for tenure shall originate in the Division of the candidate's primary appointment. The evaluation and recommendation of the Division faculty shall be forwarded by the Division Head to the Personnel Committee, which shall make a recommendation to the Dean. The recommendation of the Dean shall be the School of Music's recommendation.
 - iv. During the spring semester, the Dean shall notify each Division Head in writing of all faculty in that Division who are eligible for tenure review in the proceeding academic year. In addition the Dean shall inform the Personnel Committee, the faculty member(s) under consideration, and other full-time members of the faculty.
- b. Additional Requirements for Personnel File of Those Seeking Tenure
 - i. The Division Head shall submit the names of two external evaluators and one alternate for candidates seeking tenure to the Dean's Office.
 - ii. External evaluators shall provide comments regarding the quality of research and creative activity, along with justifications for those comments, but recommendations as to whether promotion or tenure should be awarded shall be disregarded.
 - (a) Selection of External Evaluators
 - (1) Qualifications. External evaluators shall be nationally recognized experts in the candidate's field of specialization. Evaluators may include experts not affiliated with academic institutions. Evaluators with academic appointments shall be tenured faculty members and must be at or above the rank to which the candidate seeks promotion.
 - (2) Neutrality. External evaluators shall be in a position to provide an objective assessment of the candidate's work. Evaluators may not be former mentors or individuals who have collaborated extensively with the candidate on research or creative activity.

Division Head shall submit the vote of the Division by letter, including salient points of the discussion, to the Personnel Committee within one week of the Division vote.

- (c) The candidate shall be notified within one week in writing of the results of the Division vote. If the vote is negative, such notification to the candidate shall be by certified mail. The letter providing the summary of the Division discussion shall be available to the candidate.

ii. Personnel Committee Review and Recommendation

- (a) The Personnel Committee shall make its recommendation concerning the candidate's review based on the materials in the review file as well as the Division review and recommendation.
- (b) The candidate may choose to appear before the Personnel Committee, or the Personnel Committee may request the candidate to appear. During this appearance, the candidate may make a statement, present any evidence that could not be reduced to writing or recordable form, and respond to any members of the Personnel Committee. The candidate may request that this meeting be recorded. If recorded, the chair of the Personnel Committee shall be responsible for such a recording, provided sufficient notification is given.
- (c) The Personnel Committee may invite such other persons as it deems necessary to appear before the Committee. Candidates shall be informed if any person is invited to appear before the Committee, shall be informed of the substance of such a meeting, and shall have the right to respond in writing and/or to appear before the Committee prior to the vote.
- (d) After due consideration of all available information, the Personnel Committee shall vote by secret ballot on whether or not to recommend that the candidate should be granted tenure and/or promotion. The recommendation shall be by simple majority vote of the members of the Personnel Committee, and the committee chair shall attest to the results. Within one week, the committee chair shall submit to the Dean a summary of the committee discussion and the results of the vote.
- (e) The chair of the Personnel Committee shall inform the candidate in writing within one week of the vote. If the recommendation is negative, such notification shall be by certified mail and shall include the reasons for the negative recommendation. The candidate has the right to submit a written rebuttal of the vote.

iii. Dean's Recommendation to the University Provost

The Dean, having received all material reviewed during the previous steps, shall make a recommendation to the University Provost. Before the recommendation is sent to the University Provost, the Dean shall provide the candidate a copy of that recommendation. If the recommendation is negative, a copy of the recommendation shall also be sent to the candidate by certified mail. Only the candidate will see the Dean's recommendation. Before the file is forwarded to the University Provost, the candidate may add newly available evidence and/or rebuttals, in accordance with provisions of The Redbook. The final step of this procedure is the forwarding of the complete set of

recommendations and the file to the University Provost as appropriate as specified in The Redbook, Sections 4.2.2.H.5 and 6. Once the file has been forwarded to the Provost, the file is considered closed, and no new materials may be added.

4. Promotion Reviews

- a. Requirements and Procedures different from those required by the Annual Review
 - i. Candidates for promotion to associate professor shall demonstrate excellence in teaching and satisfactory performance in research/creative activity and service. They shall, in addition, give promise of continuing at these levels of performance in all of these areas and shall demonstrate professional academic conduct in areas covered by the other criteria listed in the section above.
 - ii. Candidates for promotion to the rank of professor shall demonstrate excellence in teaching or research/creative activity. Furthermore, they shall give promise of continuing excellence in one or more of the areas of teaching, research/creative activity, and service, demonstrating a strong commitment to the highest standards in music and achieving significant professional stature. They must also demonstrate proficiency in the other criteria: teaching, research/creativity, and service.
 - iii. The Dean shall notify each Division Head in writing of all faculty in that Division who are eligible for promotion. Each Division Head shall notify the Dean in writing of all Division faculty who are being put forward for consideration for promotion. The Dean may also place a name under consideration for promotion, or an individual may request such consideration.
 - iv. Promotion to associate professor may occur at the same time as the awarding of tenure.
 - v. Promotion to professor normally occurs after six years in the rank of associate professor.
 - vi. Timelines and evaluation procedures will be consistent with those outlined for tenure reviews.

5. Periodic Career Review

The objective of the Periodic Career Review is to ensure that the faculty member's performance and contribution to the School of Music remain at a satisfactory level, consistent with the standards applied for promotion to the current rank, and with the expectations implicit in the faculty member's Annual Work Plans. Faculty members with tenure shall undergo a career review after every fifth year of service. A promotion review shall replace a career review for the period in which the promotion occurs. When the review period ends in a sabbatical (or other leave), the career review shall be deferred until the next academic year.

- a. If the faculty member under consideration has five consecutive positive annual reviews for the preceding five years, this shall be construed as constituting a positive Periodic Career Review, and a letter attesting to such shall be placed in the faculty's personnel file.

- b. If a tenured faculty member receives an unsatisfactory annual review, a three-member committee selected by the Faculty Committee from that faculty member's Division, when possible, shall be appointed to evaluate the review. If the review is found appropriate, then the committee shall recommend strategies for improvement. If the review is found inappropriate, then the committee may encourage a response from the faculty member through the appropriate channels.
- c. If a faculty member receives two or more unsatisfactory annual reviews during a given five-year cycle, then a periodic career review is required. While materials gathered during prior annual reviews will be used in this review process, this review will be more comprehensive and the following considerations will apply.
 - i. The file shall include among other things a current vita, the five preceding annual reviews, and the five corresponding Annual Work Plans and Professional Activities Summaries.
 - ii. The Periodic Career Review will originate in the faculty member's Primary Division. The Division Head shall convene a meeting of the Division faculty to evaluate the file of the candidate in light of the criteria and standards above. All full-time tenured and probationary faculty with a primary appointment to the candidate's Division are expected to participate in the review, and non-tenurable (term and part-time) Division faculty as well as those with a secondary appointment in the faculty member's Division are encouraged to do so. The Division Head and Division faculty members will vote "proficient" or "non proficient" by secret ballot. Only full-time tenured and probationary members of the primary Division faculty are eligible to vote, and all are required to vote with the exception of the candidate. The Division Head shall submit the vote of the Division by letter, including salient points of the discussion, to the Personnel Committee within one week of the division vote. The faculty member shall be informed of the outcome of the vote immediately.
 - iii. The Personnel Committee's recommendation shall characterize the faculty member's contribution as "proficient: meeting unit criteria" or "not proficient: not meeting unit criteria". In the case of an unsatisfactory recommendation, the Personnel Committee shall also include a letter explaining the basis on which its decision was made.
 - iv. Faculty members whom the Personnel Committee finds to be "not proficient" or "unsatisfactory" who fail to improve their performance to proficient levels, even after completion of professional development programs, shall be liable for appropriate disciplinary action as specified by The Redbook, Article 4.5.
- d. During the Spring semester, the Dean shall notify each Division Head in writing of all faculty in that Division who must undergo a periodic career review. The Dean shall inform the Personnel Committee, the faculty member or members under consideration, and other full-time members of the faculty who must be considered for a periodic career review.
- e. Timetable for Unsatisfactory Periodic Career Review
 - i. Faculty whose performance is judged deficient shall have thirty calendar days after the completion of the career review to develop, in consultation with the Dean, a career development plan to remedy the deficiencies in one year, unless the Dean approves a longer period (The Redbook, Section 4.2.4).

- ii. Upon successful completion of such a professional development plan, the faculty member shall then have one year to demonstrate satisfactory performance and will be reviewed at the end of the year in a special career review according to the same standards applied prior to the professional development plan (The Redbook, Section 4.2.4).

E. Contents of the Review File

1. The faculty member shall assemble the following types of documentation for any type of review file.
 - a. A current Curriculum Vitae, copies of the faculty member's Annual Work Plans and Professional Activities Summaries for each of the years under review. Evaluations shall consider only those areas of activity for which the approved Annual Work Plan indicates the faculty member's responsibility.
 - b. Articles, programs, books, scores, recordings, or other such evidence of professional activities.
 - c. Documentation of service to the University, the profession, and the community.
 - d. In addition, faculty may wish to include any other item that contains information concerning criteria listed in previous sections.
2. The following types of documentation, when required as per the specific guidelines following, shall be assembled by the Division Head of the faculty member's primary appointment, with the assistance of the Dean's Office staff as necessary.
 - a. Peer evaluation of instruction.
 - b. Student course evaluation forms for the period under review, as archived by the office.
 - c. Letters of recommendation or review by persons in the Division, the School of Music, the University, or outside the University (including alumni), and the faculty of other areas in which the faculty member may have taught during the period of review. Although these letters are to be solicited by the Division Head, the faculty member under review may submit a list of names for this purpose. Letters from current students should not be solicited as the student course evaluation forms provide a format for such input.

III. Committees

A. Committee Structure

1. There shall be both standing elected committees and standing committees whose members are appointed or otherwise designated.
2. Terms of office for elected committees shall be for three years, determined in such manner that terms are staggered and no more than one-third of the membership is changed in any annual election.
3. Except where stated otherwise, the regular members of each committee shall select a chair from among their number at the first meeting of each academic year.

B. Standing Committees

1. Awards Committee

- a. Membership: The membership shall consist of four full-time faculty members, with Academic and Performance Faculties represented by at least one person each, as well as one representative of the School of Music Alumni Council. Alternates may be selected as necessary.
- b. Duties
 - 1) To accept nominations from the faculty for such awards as Alumni Fellow, Distinguished Alumni, and other such university-wide award programs and to prepare a slate of faculty members for awards offered by the University or the School of Music for submission to the Dean of the School of Music.
 - 2) To inform the faculty concerning awards, regulations, and criteria governing them, and the methods of application or nomination.
 - 3) To propose other awards or changes in the criteria or the procedures concerning awards to the administration of the School of Music.
 - 4) With the approval of the Dean of the School of Music, three members may individually serve as representatives of the School of Music on the three awards committees (teaching, research, and service) of the University.

2. Graduate Studies Committee

- a. Membership: There will be eight members as follows: six shall be selected from among the graduate faculty, with Performance and Academic Faculties to be represented by three members each; one graduate student shall be appointed by the Director of Graduate Studies; and the Associate Dean shall serve ex officio as a non-voting member. This committee will be chaired by the Director of Graduate Studies, who will also serve as one of the three representatives from his or her concentration. Alternates may be selected as necessary from among the full-time graduate faculty of the School of Music.
- b. Duties
 - 1) To oversee the graduate curricula and to originate, receive, and pass upon all courses offered in the Graduate Division. All decisions/ recommendations made by this committee must go to the full faculty for vote with the exception of student petitions.
 - 2) To consider and evaluate admission requirements, procedures for establishing candidacy, examinations for graduation, and all academic policies for all graduate degrees.
 - 3) To approve the choice of all major advisors and advisory committees of masters' candidates, as well as University of Louisville dissertation committees in the joint Ph.D. program in Musicology with the University of Kentucky.
 - 4) To establish policies, procedures, and standards for graduate theses or other culminating projects.
 - 5) To rule on any petitions for variation from printed graduate curricula.

3. Undergraduate Studies Committee

- a. Membership: There will be eight members as follows: Performance and Academic Faculties shall be represented by three members each; one undergraduate student shall be chosen by the Student Council; and the Associate Dean shall serve ex officio as a non voting member. This committee will be chaired by the Director of Undergraduate Studies, who will also serve as one of the three representatives from his or her concentration. Alternates may be selected as necessary from among the full-time faculty.
- b. Duties
 - 1) To evaluate all undergraduate curricula of the School of Music.

- 2) To present all decisions/recommendations regarding undergraduate curricula of the School of Music to the full faculty for vote.
 - 3) To approve all undergraduate courses offered by the School of Music.
 - 4) To be responsible for the effectiveness of the several curricula and the establishment of appropriate levels of student academic and performance achievement.
 - 5) To be responsible for the coordination of related subject areas and to guard against excessive overlapping of course offerings.
 - 6) To be responsible for the establishment of the appropriate aims and objectives for the several curricula and to develop a sound educational philosophy for the effective functioning of the School of Music.
 - 7) To be aware of the recommendations of the several accrediting agencies, of the education policies and instructional practices of neighboring institutions.
 - 8) To rule on any petitions for variation from printed undergraduate curricula.
4. Music Library Advisory Committee
- a. Membership
 - 1) There shall be five voting members, as follows: four faculty members, of at least two shall be members of the Graduate Faculty and at least one shall be from the Music History Division, and one student elected by the Student Council.
 - 2) The University Librarian and the head of the Dwight Anderson Memorial Library, or representatives appointed by them, shall serve ex officio as non-voting members.
 - b. Duties
 - 1) To assist the Librarian in any phase of the operation of the Music Library which the Librarian shall deem appropriate. However, while the committee must function as an advisory committee to the Librarian, it shall be independent in its consideration of its recommendations and have an independent responsibility towards the Music Library.
 - 2) To make recommendations regarding the growth and performance of the Music Library.
 - 3) To serve as liaison with the Divisions and the faculty at large for the purpose of engaging the faculty in the task of building and using the Music Library's collection.
 - 4) To solicit on a regular basis recommendations from the faculty for acquisitions.
 - 5) To recommend to the Librarian such programs as may encourage the use of the Library.
 - 6) To assist the Librarian in obtaining support for the enrichment and expansion of the Music Library.
5. Personnel Committee
- a. Membership
 - 1) The Personnel Committee shall consist of five members, with its membership varying in part with each candidate up for review. It will consist of a core of two tenured full professors (one representing the Performance Faculty and one representing the Academic Faculty) and three ad hoc members selected by the Faculty Committee (two chosen from the candidate's primary concentration and one from the other concentration). The candidate's primary activity, and ancillary activities, if any, shall be represented by at least one member of the Committee. Ad hoc members shall be tenured and, in the case of promotion actions, hold the rank equal to or greater than that sought by the candidate. In cases where a committee cannot be fully constituted according to the guidelines set out here, the Faculty Committee may qualify others to serve as ad hoc members. Division Heads shall not serve as core members,

and shall only serve on committees considering candidates from other Divisions.

- 2) In the event that a member is unable to fulfill the obligation of membership on the Committee, an alternate shall be appointed by the Faculty Committee. Alternates shall be chosen from the same represented faculty.
- b. Duties
 - 1) To conduct pre-tenure, tenure, promotion, and periodic career reviews, and to submit its recommendations to the Dean of the School of Music.
 - 2) To serve as an appeals committee in cases of dispute regarding annual reviews, including allocation of annual salary increases.
6. Faculty Committee
- a. Membership: There shall be five members, with at least one representative each from the Performance and Academic Faculties.
 - b. Duties
 - 1) To serve as the Committee on Committees and Nominating Committee for faculty committee assignments and other service liaison assignments. Nominations for committee service will be solicited by this committee, in writing, each spring so that the committee can prepare a slate of nominees to the faculty by the first faculty meeting of the academic year. The committee may also submit to the Dean a list of nominees for appointed committee assignments without prejudice to the Dean's power of appointment. Every effort will be made to insure each faculty member the opportunity to serve on committees, as well as to avoid undue burden upon faculty members.
 - 2) To represent the faculty to the administration of the School or to the University, as may appear necessary or advisable.
 - 3) To review governance documents as necessary and to make recommendations for amendment to the faculty.
 - 4) To provide an information session to new and probationary faculty to review timelines, documents, and expectations.
7. Scholarship Committee
- a. Membership: The Scholarship Committee shall consist of five regular members, one alternate, and the Associate Dean who serves ex officio as a non-voting member. Of the five regular members, there must be representation from the Academic Faculty, the Performance Faculty, and the Ensembles & Conducting Division.
 - b. Duties
 - 1) To recommend to the Dean allocation of scholarship funds for entering and returning students.
 - 2) The chair shall notify the faculty of all scheduled meetings of the Committee. Any member of the School of Music faculty, full-time or part-time, shall be welcome to attend all meetings of the Scholarship Committee with voice, but no vote.
 - 3) No scholarship funds shall be disbursed without the discussion and vote of at least three voting/alternate members.
8. Diversity Committee
- a. Membership: There shall be four members, as follows: one from the Performance Faculty, one from the Academic Faculty, one student, and one representative of the Music Library. The student shall be chosen by the Student Council and the Music Library representative by the Music Librarian. The other two members shall be chosen by the Faculty Committee.
 - b. Duties
 - 1) To prepare and oversee the promulgation of the Unit Diversity Plan.

9. Technology Committee

- a. Membership: There shall be five members, as follows: two from the Performance Faculty, one from the Academic Faculty, the School of Music Technology Specialist, and the School of Music's University Information Technology Partner.
- b. Duties
 - 1) To make decisions concerning technology standards, policies, and procedure on issues within the School of Music.
 - 2) To develop and maintain the School of Music website.

10. Dean's Advisory Committee

- a. Membership: Membership shall include the Dean and Associate Dean as well as the six Division Heads, and may also include other members as appointed by the Dean. The Dean shall act as chair.
- b. Duties
 - 1) To consult on plans and directions for the School of Music.
 - 2) To recommend policies for presentation at faculty meetings for faculty approval.
 - 3) To represent the unit in grievance procedures for students as described in the Undergraduate and Graduate catalogs.

C. Special Committees

Special committees, including duties and membership, shall be by appointment.

This Policy Manual was approved by the faculty in April 2007.

Revised in May 2008.

Revised in October 2008.

BYLAWS

University of Louisville
School of Music

ARTICLE I. NAME

The name of this unit shall be the University of Louisville School of Music.

ARTICLE II. PURPOSE

The University of Louisville School of Music is committed to teaching music as an artistic, academic, and professional discipline; to fostering in a variety of ways and for diverse communities the creation, performance, study, teaching, and therapeutic use of music; and to contributing innovative musical leadership in the city of Louisville and beyond. (*School of Music Mission Statement, Spring 2006*)

ARTICLE III. FACULTY MEMBERSHIP

Section 1. The faculty shall consist of tenured, tenure-track (probationary), or term-contract (non-tenurable) faculty who hold the rank of instructor, assistant professor, associate professor, or professor in the School of Music. Faculty shall also include lecturers as appointed by contract by the Dean.

Section 2. All full-time members of the faculty may vote on all issues brought before them.

Section 3. Faculty in Phased Retirement shall retain voting privileges.

Section 4. Emeritus faculty shall not have voting privileges.

ARTICLE IV. OFFICERS AND STAFF

Section 1. The chief academic and administrative officer of the unit shall be the Dean of the School of Music. The Dean shall provide leadership to the School, working with the faculty and staff to formulate strategies in order to achieve University and unit goals.

Section 2. The Dean shall be responsible for establishing the administrative organization of the School and may recommend to the Provost the Board appointment of administrative personnel to assist in conducting the business of the unit.

Section 3. The School of Music staff shall comprise individuals employed to do tasks necessary to the operation of the School.

ARTICLE V. MEETINGS

Section 1. Regular meetings of the faculty shall be held according to a schedule determined by the Dean and published before the beginning of the first week of classes. Special meetings on a specific agenda topic may be convened at the written request of a majority of voting members of the faculty. On such occasions, written and/or electronic notification of the meeting shall take place at least three working days prior to the special meeting.

Section 2. A quorum shall consist of 67% of voting members. In deciding issues not related to amendment of the governance documents, voting shall take place by show of hands, or other sign if requested by a voting member of the body. Approval of motions not related to amendment of the governance documents shall require one-half the number of eligible voters present at the meeting plus one additional vote.

Section 3. On questions concerning the conduct of business, Robert's Rules of Order shall be the authority.

ARTICLE VI. AMENDMENTS

Section 1. Any proposed amendments to School of Music governance documents shall be considered by the faculty in written form. Such proposals shall be discussed in at least one faculty meeting, and the final version of the proposal shall be distributed to faculty in paper form or electronically within 48 hours after the meeting in which such discussion takes place.

Section 2. Amendments shall require votes cast by at least 80% of faculty eligible to vote. Approval shall require an affirmative vote of 67% of the number voting.

Section 3. Votes shall be taken by paper ballots submitted in signed envelopes.

Section 4. Voting shall take place by written ballot within seven days of distribution of the amendment, with the provisos that, 1) this meeting shall follow the discussion meeting by a period of at least 10 calendar days, and 2) no further discussion will be permitted at this meeting. In cases where it is deemed unnecessary or impractical to convene a second meeting for the purpose of voting, such as at the end of a spring semester, the Dean may request that ballots be submitted directly to the Assistant to the Dean by an appointed date which shall be after a 10 calendar day interim. Such ballots may also be submitted by fax, although such ballots must be signed. "Absentee ballot" shall be understood to be written instruction to vote, and not any specific form.

Section 5. Absentee ballots on governance issues will be accepted by mail or fax until the end of business on the fourth business day following the vote. If by mail, they must be submitted in a separate, signed envelope. If by fax, they must be signed.

ARTICLE VII. COMMITTEES

Section 1. Specified responsibilities of School of Music governance shall be carried out by committees constituted from the faculty. Standing committees of the faculty shall be specified in the School of Music Policy Manual.

Section 2. Ad hoc committees may be constituted by the Dean for a specific purpose and duration.

ARTICLE VIII. AUTHORITY

Section 1. Governance documents of the School of Music shall include the Bylaws and the School of Music Policy Manual. In all matters of policy, the governance documents of the School of Music shall not be in conflict with university policy as defined in The Redbook.

Section 2. These Bylaws shall be in force in combination with the School of Music Policy Manual.

CERTIFICATION

These Bylaws were approved by the faculty in May 2006. Revised in May 2008.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING BYLAWS OF THE KENT SCHOOL

Personnel Committee – July 29, 2009
Board of Trustees – July 29, 2009

RECOMMENDATION:

The President recommends:

That the Board of Trustees approves the revised bylaws for the Kent School in the form attached, to be effective immediately.

BACKGROUND:

These revisions were approved by the Kent School Faculty, the Faculty Senate at its July 1, 2009 meeting, and reviewed by University Counsel and the Provost Office.

Committee Action:
Passed: _____
Did Not Pass: _____
Other: _____

Board Action:
Passed: _____
Did Not Pass: _____
Other: _____

Assistant Secretary

Assistant Secretary

Bylaws, Kent School, Approved By Faculty, December 4, 1997; Approved by the Board of Trustees, June 22, 1998
Bylaws, Kent School, Amended By Faculty, 1/22/03; 9/21/05; Amended, Revised, and Approved by Faculty January
21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

ARTICLE I

Preamble OF THE RAYMOND A. KENT SCHOOL OF SOCIAL WORK

The Raymond A. Kent School of Social Work at the University of Louisville (the Kent School) provides excellent academic programs and professional development in social work and in marriage and family therapy consistent with the professional mandate and the mission of the University. The Kent School is committed to providing the means by which all those within the structure of the school have a voice about matters pertaining to the school.

ARTICLE II

STRUCTURE OF THE KENT SCHOOL

Administration and governance of the Kent School shall be the responsibility of, and shall be executed by the Dean, faculty, staff and student body as established in these Bylaws.

Section A. Dean of the Kent School

The Dean of the Kent School shall be the principal academic and administrative officer of the School in accordance with the authority delegated under The Redbook and duly approved University policies.

The Dean of the Kent School shall be responsible directly to the Executive Vice President and University Provost for effective administration and conduct of the School's academic programs. The Dean shall be responsible for representing the views of the faculty to the Executive Offices of the University. Duties of the Dean shall include assuring adherence to the duly authorized policies, procedures, and regulations adopted by the Kent School Faculty, appropriate University officers, and the Board of Trustees.

1. Appointment

The Dean of the Kent School shall be appointed by the Board of Trustees on the recommendation of the President in accordance with all applicable sections of The Redbook.

Bylaws, Kent School, Approved By Faculty, December 4, 1997; Approved by the Board of Trustees, June 22, 1998
Bylaws, Kent School, Amended By Faculty, 1/22/03; 9/21/05; Amended, Revised, and Approved by Faculty January
21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

2. Selection and Review

The procedures for the selection and review of the Dean shall be consistent with the applicable provisions of The Redbook and in conformity with the University guidelines on search procedures.

3. Responsibilities

The duties and responsibilities of the Dean are outlined in The Redbook, Section 3.2.2., and the job description approved by the President and the Faculty includes: (a) coordinating academic programs within the Kent School; (b) preparing a strategic plan and priorities for action for the Kent School; (c) creating an environment that facilitates research and scholarly activity; (d) developing and promoting public service; (e) administering personnel actions; (f) developing and administering the Kent School's budget; (g) submitting an annual report to the Executive Vice President and University Provost; and (h) promoting the Kent School through fund-raising and alumni activities.

Section B. The Faculty

The Faculty of the Kent School shall consist of all full-time personnel holding academic rank, as described in Article 4.1, Section 4.1.1 of The Redbook, and a primary appointment in the Kent School and all persons holding part-time instructional appointments in the Kent School as described in Article 4.1, Section 4.1.2 of The RedBook.

The Faculty shall have general legislative powers over all matters pertaining to its own affairs as established by these Bylaws and in Sections 3.3.2. and 3.3.3. of The Redbook. Governance of each academic program rests with the faculty duly appointed in that academic program.

Full-time and part-time faculty are entitled to represent the Kent School on standing or appointed University committees except where prohibited by these and other Bylaws.

Voting faculty are full-time tenured, full-time probationary, and full-time term faculty members. Full time term faculty members do not vote on tenure and promotion of probationary and tenured faculty. Part-time faculty can only vote in committees in which they have voting rights and privileges.

Bylaws, Kent School, Approved By Faculty, December 4, 1997; Approved by the Board of Trustees, June 22, 1998
Bylaws, Kent School, Amended By Faculty, 1/22/03; 9/21/05; Amended, Revised, and Approved by Faculty January
21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

Section C. Professional & Administrative Staff and Classified Staff

1. Professional and Administrative Staff

Professional and Administrative positions are exempt positions. These positions are subject to the University's position classification plan meeting the exemption test prescribed by Kentucky Labor Law as determined by University Personnel Services. These positions are paid a salary rather than an hourly rate and are not entitled to overtime pay.

2. Classified Staff

Classified staff are nonexempt positions. A classified position is a regularly established position assigned to a classification which, by definition under the Fair Labor Standards Act, would not be exempt from overtime provision of the Act.

Section D. Students

The students of the Kent School shall consist of those students who have been admitted into one of the academic programs as defined in Article II, Section E.

Section E. Academic Programs

The programs of the school shall consist of those academic degrees or programs in the school that have been approved by the Faculty and recognized officially by the University.

Bylaws, Kent School, Approved By Faculty, December 4, 1997; Approved by the Board of Trustees, June 22, 1998
Bylaws, Kent School, Amended By Faculty, 1/22/03; 9/21/05; Amended, Revised, and Approved by Faculty January
21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

ARTICLE III

GOVERNANCE

Section A. Specific Responsibilities of the Dean

The responsibilities of the Dean shall include, but not be limited to:

1. Chairing meetings of the Faculty and Assembly.
2. Holding annual elections for officers and standing committees.
3. Convening standing committees and the timely election of their chairs.
4. Appointing such ad hoc or special committees as may be necessary.
5. Submitting an Annual Report to the Faculty.
6. Preparing slates of nominees to fill vacancies on University and Kent School committees and bodies requiring representatives.

Section B. Specific Responsibilities of the Faculty

As part of its general legislative power over all matters pertaining to its own affairs, the duties of the Faculty shall include, but not be limited to:

1. Assisting in the development and review of the Kent School's strategic planning and priorities for action.
2. Identifying and exploring areas of faculty concern and recommending appropriate action to the Dean of the Kent School.
3. Recommending to the Dean specific actions and programs to achieve the overall goals of the Kent School.
4. Advising the Dean on matters related to the mission, budget, and planning of the school.
5. Promoting collaborative academic, research, and service efforts of the Kent School.

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

6. Maintain academic and programmatic excellence through development, refinement, implementation and review of the curriculum.
7. Reviewing and submitting recommendations to the Dean for proposals for establishing new degree programs or the dissolution of existing programs.
8. Recommending personnel actions to the Dean based on recommendations of the Personnel Committee.
9. Creating from its membership standing and special committees, and electing representatives necessary to conduct its business.
10. Inviting staff and student input in matters related to the overall health and function of the Kent school.

Section C. Meetings

Meetings include regular and special faculty meetings. All faculty and committee meetings in the Kent School shall be conducted according to Robert's Rules of Order.

1. Faculty Meetings
 - a. The Dean shall convene the Faculty during the Fall and Spring semesters and at other times as needed.
 - b. The agenda for such meetings shall be prepared by the Office of the Dean with input from the faculty. Written notification of meetings with agendas shall be sent to all members of the faculty no later than 1 day prior to the date of the meeting.
 - c. A quorum of the Faculty shall consist of 51% of the total voting Faculty.
 - d. Minutes of all faculty and Kent assembly meetings shall be distributed to all voting and non-voting members of the faculty and be kept on file in the Dean's office.
2. Faculty Meetings at the request of Faculty Member(s)
 - a. Any faculty member(s) can request of the Dean to call a special faculty meeting at other times than regular scheduled faculty meetings. The Dean and requesting faculty member(s) will discuss the nature of the request and

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

the Dean will decide on whether to call the special faculty meeting. If the request is denied, and the faculty member(s) wants to pursue the matter further, the faculty member can petition the voting faculty for the meeting to take place. The meeting shall be convened if the faculty member(s) can produce a written petition signed by 25% of the voting faculty membership.

- b. The agenda for such special meetings shall be prepared by the faculty member(s) and distributed to the Dean and all faculty members at least 1 day prior to the meeting, except in emergencies.
- c. A quorum of the Faculty shall consist of 51% of the total voting Faculty.

Section D. Assemblies and Associations

1. Kent Assembly

The Kent Assembly consists of all faculty, staff, and representatives from each student association. Its primary function is to disseminate information deemed important to the common good and overall health and function of the school. Meetings of the Assembly may be called by the Dean or through a petition submitted to the Dean by 25% of Assembly members.

2. Staff Assemblies

The Kent School recognizes that assemblies of various staff may be organized to promote and support all endeavors of classified and professional and administrative staff interests and should contribute to the overall efficiency of the Kent School and quality of education for all students as well as establish effective communication between the faculty, administration, and other appropriate bodies. These staff assemblies may determine their process of representation to other university bodies by establishing Bylaws and other documents in accordance with all University policies, The Redbook, and the Staff Handbook.

3. Student Associations

The Kent School recognizes the student associations of each academic program as organizations to support all endeavors of student interest, as well as to establish effective representation with the faculty, administration, and other appropriate bodies. They may

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

establish Bylaws and other documents in accordance with all University policies, The Redbook, and the Student Handbook.

Section E. Standing Committees and Venues

Within committees all duly appointed faculty members by the Dean shall have one (1) vote. Part-time faculty representatives and student representatives shall be voting members of committees appointed by the Dean other than in committees considering matters involving personnel.

1. Faculty Personnel Committee

The Faculty Personnel Committee shall report directly to the Dean unless otherwise provided for in these Bylaws and Rules.

The Faculty Personnel Committee shall consist of five (5) tenured members elected by the Faculty to serve 3-year staggered terms. The staggering shall be created by having two people elected in a year, then two the following year, then one the third year. If a member must leave the committee before their term ends, a special election will be held to fill the remainder of their position's three-year commitment. The election process of the committee shall be determined by policies and procedures established by the Kent School faculty.

Members of the committee shall not serve concurrently as the Faculty Grievance representative. Personnel committee members seeking promotion shall not serve concurrently on the Faculty Personnel Committee. A tenured faculty member shall be elected by the faculty to fulfill the duties of the position for the time period vacated by the person seeking promotion.

A Chair shall be elected annually by the Committee from among the five members.

The Faculty Personnel Committee shall adhere strictly to the personnel policies, procedures, and standards as set forth in the Promotion and Tenure Document of the Kent School.

The Faculty Personnel Committee shall establish procedures for faculty searches and deliberate all matters concerning appointments and promotions, changes in faculty classification, the granting of tenure, and make appropriate recommendations to the Kent School Faculty and the Dean.

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

2. Faculty Grievance Venue

Faculty grievances are received and managed by the University Faculty Grievance Committee (Redbook 4.4.1). The Kent School faculty shall elect one full-time, tenured faculty member for a two-year term as its representative to the University Faculty Grievance Committee. It will also identify another faculty member, similarly qualified, as an alternate member (Redbook 4.4.1.B.4). No person currently engaged as a grievant or respondent in a grievance is eligible to serve on the committee. No person can concurrently serve on this committee and also on the Personnel Committee of the school.

3. Faculty Affairs Committee

The Faculty Affairs Committee includes all full-time faculty. Faculty affairs are the purview of the Faculty of the Kent School who meet at the call of the chair. The chair will be elected annually by the Faculty and must be tenured. Any faculty may bring a concern to the chair. The chair will ensure that regular meetings are held in the Fall and Spring and at other times as needed/requested.

The primary responsibility of the Faculty Affairs Committee is the overall welfare of the faculty, including the maintenance of an academic climate that facilitates each faculty person's right to direct scholarly expression in her/his teaching, research, publications, and associated activities.

4. Curriculum Committee¹

The Curriculum Committee shall consist of Sequence² Chairs who are full-time teaching faculty elected annually by full-time faculty teaching in that sequence from each of the

¹ Note: For the purposes of the doctoral program, the Director of the Doctoral Program will coordinate curriculum development and oversight activities and protocols with the doctoral faculty.

² Note: A sequence is made up of all faculty members who teach the same course(s). For instance, all faculty teaching social work research would be considered members of the research sequence. The research sequence chair is elected from among the faculty who are members of the research sequence. At the Kent School of Social Work, sequences consist of the core curriculum content areas: Human Behavior in the Social Environment (HBSE), Social Work Practice, Social Work Research, Social Welfare Policy, Human Diversity, and Field Education.

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curriculum areas ,a faculty representative elected by faculty from the Marriage and Family Therapy (MFT) program, a faculty representative elected by faculty from the Bachelors in Social Work (BSW) program, a part-time faculty representative elected by the part-time faculty, and a student representative from the Kent School Student Association (KSSA). The Associate Dean for Academic Affairs will serve in an ex-officio role in this committee.

The Dean will appoint the chair of the committee from the membership of the curriculum committee, taking into account recommendations from the faculty. The Dean will consult with the Kent School Student Association to appoint a student representative to the committee.

If a member must leave the committee before the term has ended, the sequence which the member represented will elect a new chair to fill the remainder of their commitment.

Other faculty and students may participate in committee discussions when warranted. However, only curriculum committee members shall have a vote in matters related to the curriculum within this committee.

The function of the Curriculum Committee shall be to ensure that the existing and proposed courses comply with university and school mission and standards for accreditation, facilitate all accreditation reviews of the curriculum, ensure quality education and integration of key content across the curriculum while minimizing unnecessary duplication, and coordinate the work of the Sequence Chairs.

5. Diversity Committee

The Diversity Committee shall consist of a minimum of three members, with at least one being a full-time member of the faculty and one, a full-time member of the staff. At the coordination of the Dean, an election will be held for a faculty and staff member to serve terms of three years. Terms may be renewed. The Dean will consult with the Kent School Student Association to appoint at least one student representative to the committee. The Chair will be appointed by the Dean, taking into account the recommendation of the committee.

The function of the Diversity Committee shall be to coordinate with the University's diversity plan, develop and recommend a Diversity Plan for the School, monitor, in coordination with the Outcomes Committee, the assessment of diversity objectives, plan

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activities for the School that promote the interests of an increased diversity profile and educational context.

6. Outcomes Committee

The Outcomes Committee will be chaired by the Associate Dean for Academic Affairs. Additionally, the Chair of the Curriculum Committee, Directors of the Bachelors in Social Work, Doctoral and Marriage and Family Therapy programs will serve on this committee. The Dean may appoint additional committee members and confer with the Kent School Student Association to seek student representation.

The function of the Outcomes Committee shall be to develop and monitor outcomes measurement protocols for the school and coordinate all assessment activities, collect and disseminate all outcomes data, and coordinate outcomes reports for university and accrediting bodies.

7. Research and Scholarship Committee

The Research and Scholarship Committee will be chaired by the Associate Dean for Research. All Principal Investigators will serve on this committee. Additionally, the Associate Dean for Research may appoint staff from the office of the Associate Dean for Research to sit on this committee (non-voting) to support the functions of this committee. The Dean may appoint additional committee members.

The function of the Research and Scholarship Committee shall be to develop and maintain an infrastructure for research and promote research and scholarship activities of the Kent School.

8. Recruitment and Admissions Committee³

The Recruitment and Admissions Committee of each academic program will be elected by the respective faculty and be chaired by the Director of the respective program with the exception of the Master of Science in Social Work (MSSW) program, which will be

³ Note: For the purposes of the doctoral program, the Director of the Doctoral Program will coordinate recruitment and admissions activities and protocols with the doctoral faculty.

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chaired by the Associate Dean for Student Services. The Dean may appoint additional committee members to each academic program's Recruitment and Admissions committee.

The function of the Recruitment and Admissions Committee shall be to coordinate and monitor the recruitment and admission of students, coordinate with the Diversity Committee activities to ensure a diverse student body, admit students to the Kent School, develop and implement protocols for scholarships, and make awards accordingly, and coordinate with the Outcomes Committee protocols to measure effectiveness of recruitment efforts and admission practices.

9. Student Grievance Committee

The Student Grievance Committee shall consist of two (2) faculty members elected by the Faculty each to serve a one (1) year term, one of whom shall serve as Chair, and one (1) student representative. The election process of the Student Grievance Committee shall be determined by policies and procedures established by the Kent School.

The function of the Student Grievance Committee shall be to receive and take appropriate action on all student academic grievances in accordance with procedures in Section 6.8.3 of The Redbook and develop procedural guidelines consistent with Section 6.8 of The Redbook.

Section F. Other Committees

The Kent School Faculty may establish other standing and ad hoc committees derived from and consistent with its mission, in accordance with University policies, the Redbook, these Bylaws, and the Kent School's established Policies and Procedures.

Section G. Notification of Committee Meetings

Notice of all committee meetings shall be sent to the Dean.

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21, 2009; Amended, Revised, and Approved by Faculty May 13, 2009.

ARTICLE IV

ADOPTION AND AMENDMENT OF THE KENT SCHOOL BYLAWS

Section A. Procedures for Approval of Adoption and Amendments

Adoption and Amendment of the Kent School Bylaws requires that final proposed documents be distributed to each member of the Faculty, as defined in Article II, Section B) at least ten (10) working days prior to a formal ballot. A vote on Adoption or Amendment shall take place at a Faculty meeting by closed, written ballot. Approval of adoption or amendment shall require a two-thirds majority of the ballots cast. No absentee or proxy ballots shall be accepted. Kent School Bylaws or amendments shall take effect immediately upon approval by the President and the Board of Trustees. No Kent School Bylaws or amendments are effective until such approval has been granted.

Section B. Initiation of Amendment

Amendment of the Kent School Bylaws can be initiated by any member of the Kent School Faculty. A discussion forum shall be convened according to the provisions of Article III, Section C of these Bylaws. Approval shall follow procedures specified in this Article, Section A.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING CANDIDATES FOR DEGREES AND CERTIFICATES
IN AUGUST

Board of Trustees – July 29, 2009

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the Candidates for Degrees and Certificates to be conferred by the University of Louisville on August 11, 2009, and that the Board authorize the Executive Vice President and Provost to approve the awarding of degrees to others who have been certified by the unit faculties as having completed the appropriate courses of study, but missed the deadline for Board action.

BACKGROUND:

A comprehensive list is attached of all candidates for degrees and certificates.

ACTION:

Passed: _____

Did not pass: _____

Other: _____

Date: _____

Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE CERTIFICATE IN PUBLIC HISTORY**

Board of Trustees – July 29, 2009

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the graduate certificate in Public History.

BACKGROUND:

The Dean of the College of Arts and Sciences recommends the creation of the graduate certificate in Public History, effective fall 2009. The graduate certificate in Public History will require the completion of 18 hours of approved coursework, some of which could be incorporated into existing graduate programs. It may be completed as a “stand alone” program or in conjunction with other graduate programs.

Public history can be described as the conceptualization and practice of historical activities with one’s audience foremost in mind. Public history generally takes place in settings beyond the traditional classroom. With the establishment of this certificate, UofL will provide graduate students, post-baccalaureate students, and other members of the community an opportunity to obtain professional development and an additional credential. Students who complete these programs master a field of history; study methods including oral interviewing, archival management, preservation, and curatorial design; and complete internships in historical institutions.

For many years, the Department of History has offered graduate-level independent studies in public history and for-credit internships at local public historical institutions, while the Department of Fine Arts has offered a specialization in Critical and Curatorial Studies as one of the three tracks in its M.A. program. At the same time, the directors and staff of historical institutions in the Louisville and Jefferson County expressed the need for more personnel trained in public history. In 2007, UofL began the process of establishing permanent connections with area institutions as part of the Arts and Culture Partnership. The partnership also provides a framework through which local public history professionals can share their expertise as part-time instructors in the new program.

The Faculty Senate recommended the creation of the graduate certificate in Public History at their meeting on June 3, 2009. The Executive Vice President/University Provost joins the President in making this recommendation.

BOARD ACTION:

Passed _____
Did not pass _____
Other _____

Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
CERTIFICATE IN ASIAN STUDIES**

Board of Trustees - July 29, 2009

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the graduate certificate in Asian Studies.

BACKGROUND:

The Dean of the College of Arts and Sciences recommends the creation of the graduate certificate in Asian Studies, effective fall 2009. The certificate in Asian Studies will require the completion of 15 hours of approved coursework, some of which could be incorporated into existing graduate programs. It may be completed as a “stand alone” program or in conjunction with other graduate programs, for example, the MA in History or Political Science, or the Ph.D in Art History or Humanities.

For many years, the College of Arts and Sciences has offered undergraduate and graduate courses on such topics as the history of China, the religions of India, and the politics of East Asia, as well as occasional courses in the Chinese and Japanese languages. This situation began to change with the formation of the Chinese Studies Program in 2002, followed in 2006 by the establishment of the Center for Asian Democracy and a minor in Asian Studies, starting in the fall of 2008.

UofL is ideally placed to offer programs in Asian Studies because Louisville is the home of Crane House (the Asia Institute, Inc.), one of the country’s principal agencies for educating Americans and Asians about one another. The university and Crane House have begun working on strengthening their ties. In 2009, the two institutions signed a collaborative agreement that brought Crane House into UofL’s Arts and Culture Partnership Initiative. The certificate will provide the University of Louisville with a unique opportunity to meet the needs of students within the Commonwealth, by giving them tools that they can use in the community, the workplace, and the global marketplace in Asian countries.

The Faculty Senate recommended the creation of the Graduate Certificate in Asian Studies at their meeting on June 3, 2009. The Executive Vice President/University Provost joins the President in making this recommendation.

BOARD ACTION:

Passed _____
 Did not pass _____
 Other _____

 Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
DOCTORAL DEGREE IN APPLIED SOCIOLOGY**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Doctor of Philosophy (Ph.D.) in Applied Sociology.

BACKGROUND:

The Dean of the College of Arts & Sciences recommends the creation of the Doctor of Philosophy (Ph.D.) in Applied Sociology beginning in fall 2010.

Sociology has been a part of the curriculum for 100 years at the University of Louisville and is currently among the largest departments in the College of Arts and Sciences. The faculty of the Department of Sociology, with its expertise in urban sociology, diversity and inequality, social problems, theory, and research methods, is a highly active research and teaching unit and is well-positioned to offer the degree of Doctor of Philosophy in the area of applied sociology. This pioneering program, which would be only one of two in the United States, will train professional researchers at the highest level to follow the discipline's focus on bringing scientific understandings to the study of social issues and problems. Currently Baylor University in Texas is the only post-secondary institution to offer a doctoral program in applied sociology in the United States.

The primary goal of this program is to offer a nationally recognized program in applied sociology from which graduates are prepared to assume the responsibility for leadership on research projects dealing with social problems and issues. The absence of professional training in applied sociology, combined with a growing market demand for professional applied sociologists, presents the University of Louisville with a unique opportunity to fill a market need and to attain regional and national recognition in applied sociology.

To be admitted to the Ph.D. program, students must demonstrate basic competency in research skills, as evidenced by completion of a Master's thesis or another independent research project. Completion of 34 hours of graduate credit at the M.A. level (beyond the baccalaureate degree) and 64 hours beyond the Master's degree is required. Additionally, the department has entered into an agreement with Western Kentucky University to create a joint admissions program that would allow graduates of WKU's master's program to gain easier and near seamless admission to the proposed doctoral program

The Faculty Senate recommended the creation of the Ph.D. in Applied Sociology at their meeting on July 1, 2009. The Council on Postsecondary Education approved the proposal in May 2009. The Executive Vice President/University Provost joins the President in making this recommendation.

COMMITTEE ACTION:

Passed_____

Did not pass_____

Other_____

Date_____

Asst. Secretary_____

BOARD ACTION:

Passed_____

Did not pass _____

Other_____

Date_____

Asst. Secretary_____

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING RESEARCH CHALLENGE TRUST FUND**

July 29, 2009

RECOMMENDATION:

The President recommends that the Board of Trustees approve:

- allocating the full \$16,667,000 of the University of Louisville's 2008-10 Research Challenge Trust Fund authorization to support the Endowment Match Program.

and authorize the President or his designee to execute any documents required to complete the expansion of this endowed fund.

BACKGROUND:

With passage of the 2008-10 Budget of the Commonwealth (HB 406), the 2008 General Assembly authorized \$50 million in General Fund supported bonds in 2008-09 for the Research Challenge Trust Fund (RCTF) to support the Endowment Match Program and a newly created Research Capital Match Program. In accordance with KRS 164.7917, these funds will be allocated two-thirds to the University of Kentucky (\$33.3 million) and one-third to the University of Louisville (\$16.7 million).

Board Action:

Passed: _____

Did Not Pass: _____

Other: _____

Date: _____

Assistant Secretary

**RECOMMENDATION TO THE UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES
REGARDING ENERGY SAVINGS PERFORMANCE CONTRACTING PROJECT
FOR BELKNAP CAMPUS**

July 29, 2009

RECOMMENDATION:

The President recommends that he or his designee be authorized to negotiate and execute, for and on behalf of the University of Louisville, an Energy Savings Performance Contracting Agreement, by and between the University of Louisville and Siemens Building Technologies, Inc., in an amount not to exceed \$20,000,000.

The President also recommends that he or his designee be authorized to execute a financing arrangement, whereby the principal amount would not exceed \$20,000,000, to fund an Energy Savings Performance Contracting Agreement, by and between the University of Louisville and Siemens Building Technologies, Inc.

BACKGROUND:

Last July, the University selected Siemens Building Technologies to proceed with the planning and development of a energy performance contract to reduce energy use through equipment upgrades and enhanced systems for controlling the use of electricity, water, and other resources.

Siemens has projected a reduction of approximately 30 percent to UofL's \$13.8 million annual utility bill by implementing energy efficient facility improvements in two phases, with the first phase to include Belknap Campus. The Health Science Campus will be addressed later this fall.

The cost of the equipment upgrades will be funded from the savings in our utility budget. UofL will not incur any additional out-of-pocket expenses in this arrangement since Siemens has agreed to pay the shortfall if the guaranteed savings fail to cover the cost of making the energy saving improvements. The Belknap Campus phase of this project will involve 69 selected buildings. Currently, the combined total, annual projected savings related to these 69 buildings is \$2,240,000. (Based upon 2008 calendar year unit costs.)

The University plans to finance this program using a tax-exempt lease which will be competitively bid. The vendors will be required to agree to the terms and conditions of the Kentucky master lease agreement currently held by G.E. Capital Public Finance, Inc. The University of Louisville lease must also be approved by the Kentucky Office of Financial Management.

This recommendation authorizes the President or his designee to work out the contracting arrangement with Siemens and also to execute the financing arrangement. These actions relate to the Belknap Campus only. HSC will be addressed in the next phase.

BOARD ACTION

PASSED _____
DID NOT PASS _____
OTHER _____

ASSISTANT SECRETARY

RECOMMENDATION TO THE BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE
CONCERNING MANAGERIAL GROUP

Board of Trustees - July 29, 2009

RECOMMENDATION:

The President recommends:

That the Board of Trustees adopt the attached Resolution revising the Managerial Group of the University of Louisville and waiving of security clearance for officers, Directors, and directors not a part of the managerial group; and

That the President be authorized to take any other steps necessary with regard to agreements or assurances to the Defense Security Service to effect the facility security clearance of the University of Louisville and clearance of its personnel including compliance with the provisions of the National Industrial Security Program Operating Manual or other Federal government policy relating to safeguarding of classified information.

BACKGROUND:

This resolution updates the “Managerial Group” of the University of Louisville with full authority and responsibility for administering contracts involving access to classified material. The persons designated in the managerial group will be required to undergo government security clearance if they have not already done so. Due to the high cost of these clearances to the government—both in terms of money and tying up personnel—the Federal Government would prefer to avoid processing security clearances for every officer, trustee, and director. To carry out the purposes of this delegation and to meet federal regulations, the Board takes formal action waiving access to classified information for all officers, Directors, and directors not designated in the managerial group and must take action waiving access to classified information for each new officer, trustee, or director.

Action:

Passed _____

Did Not Pass _____

Other _____

Assistant Secretary

RESOLUTION
BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

July 29, 2009

WHEREAS the Defense Security Service, Department of Defense of the Federal Government requires security clearance with the Federal Government for persons constituting the Managerial Group of the University of Louisville; and

WHEREAS, the Managerial Group must undergo government security clearance at the same level as the Facility Security Clearance; and

WHEREAS the Board of Trustees desires to delegate all of its duties and responsibilities pertaining to the protection of classified information to the Managerial Group; and

WHEREAS because of this designation the Board of Trustees will not be in a position to affect adversely the performance of classified contracts; and

WHEREAS the University of Louisville has been informed that the Federal Government will not process security clearances for members of the Board of Trustees who are not in a position to affect adversely the performance of classified contracts;

BE IT RESOLVED that the following personnel shall constitute the Managerial Group for industrial security responsibilities as described in the National Industrial Security Program Operating Manual for Safeguarding Classified Information:

Name	Position
James Richard Ramsey	President
Shirley Chilton Willihnganz	Executive Vice President and Provost
Larry N. Cook	Executive Vice President
Manuel Martinez-Maldonado	Executive Vice President
Michael Joseph Curtin	Vice President
Larry L. Owsley	Vice President
Bruce W. Edwards	Facilities Security Officer
Lisa J. Braden	Assistant Facilities Security Officer

THAT the said Managerial Group shall be and hereby is delegated the full authority and responsibility for negotiating, executing and administering classified contracts of the Department of Defense or other User Agencies of the United States Government awarded to the University of Louisville.

THAT all other officers of the University of Louisville and members of the Board of Trustees shall not require, shall not have, and can be effectively excluded from access to all classified information released to, in the possession or under the control of the University of Louisville, and do not occupy positions that would enable them to affect adversely the policies and practices of the University of Louisville in the performance of classified contracts for the Department of Defense and other User Agencies of the United States Government, Inc. need not be processed for an access authorization in accordance with previous actions taken by the Board

regarding the members of the Board of Trustees, including the following officers and/or directors:

Jonathan Scott Blue
Ronald Dean Butt
Kevin W. Cosby
Owsley Brown Frazier
Brent A. Fryrear
Salem M. George, Sr.
Daniel Hall
Priscilla Hancock
Margaret Handmaker
Robert Curtis Hughes
A. Keith Inman
Rebecca Day Jackson
Thomas Mark Jurich
Melissa Laning
Mark E. Lynn
Frank Minnifield
Bruce Moore
Onyejindu C. Oleka
Steven Poe
Jack Chester Porter
Debbie Scoppechio
William Selvidge
William Allen Stone
Phoebe A. Wood

THAT this Resolution supersedes the Resolution of November 13, 2008, as it relates to the Managerial Group. All other provisions of that Resolution remain in full force and effect.

Certificate

I certify that I am the duly qualified Assistant Secretary to the Board of Trustees of the University of Louisville, that the foregoing is a true copy of the Resolution adopted at the regular meeting of such Board, which was held the 29th day of July, 2009, at which meeting a quorum was present and a majority of members present voted in favor of the adoption of such resolution. I further certify that such Resolution is still in full force and effect.

Dated this 29^h day of July, 2009.

Assistant Secretary
Board of Trustees
University of Louisville