

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

In Open Session

Members of the University of Louisville Board of Trustees met on Thursday, November 11, 2010, in the Jefferson Room, Grawemeyer Hall, Belknap Campus, with members present and absent as follows:

Present: Mr. Owsley B. Frazier, Chair
Ms. Sana Abhari
Ms. Marie Abrams
Mr. Ron Butt
Dr. Kevin Cosby
Mr. Brent Fryrear
Dr. Salem George
Ms. Augusta Brown Holland
Dr. Robert Curtis Hughes
Judge Rebecca Jackson
Dr. Mark Lynn
Mr. Frank Minnifield
Ms. Brucie Moore
Mr. Robert Rounsavall, III
Ms. Debbie Scoppechio
Dr. William Selvidge
Dr. Robert Staat

Absent: Mr. Jonathan Blue
Mr. J. Chester Porter
Ms. Phoebe Wood

Guests: Mr. Mark Carter, DDFKY
Ms. Mary McKinley, CPA, BKD
Prof. C. Patrick McGraw
Mr. David Bryce Barber (Legal Counsel for McGraw)
Mr. Dirk Bedarff (Bond Counsel)
Ms. Melissa Bork, Greenebaum, Doll & McDonald
Mr. Holland McTyeire, V, Greenebaum, Doll & McDonald

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. William Pierce, Interim Exec. Vice President for Research & Innovation
Ms. Angela Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance
Mr. Keith Inman, Vice President for University Advancement
Mr. Larry Owsley, Vice President for Business Affairs
Mr. Dan Hall, Vice President for Community Engagement
Mr. David Barker, Associate VP for Audit Services
Dr. Mordean Taylor-Archer, Associate University Provost
Mr. Mark Hebert, Director of Media Relations

Ms. Susan Ingram, Director of Budgets
Mr. John Drees, Associate VP, Communications & Marketing
Mr. Jason Tomlinson, Asst. Vice President for Finance
Ms. Susan Magness, Associate Controller
Ms. Anne Rademaker, Dir., Financial Reporting and University Accounting
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Diane Whitlock, Office of the Provost
Ms. Kathleen Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present, Chair Frazier called the meeting to order at 2:10 p.m.

II. Consent Agenda

A. Approval of Minutes

- Minutes from Special Board Meeting, 10/14/2010

B. From the Personnel Committee

- Approval of Monthly Personnel Recommendations
- Approval of Libraries Personnel Document
- Approval of Music Policy Manual

C. Approval of Candidates for Degrees, December 2010

D. Approval of Security Clearance and Managerial Group

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

III. Action Item: Authorize the President to Finalize Discussions and Execute A Non-binding Letter of Intent to Create an Integrated Health Service to Improve the Quality of Care for the People of Kentucky

President Ramsey said discussions had taken place for approximately a year to create an integrative health service organization for the improvement of the quality of care for the citizens of Kentucky. He introduced the following key individuals who participated in these discussions:

Catholic Health Initiatives

Paul W. Edgett, III – Senior Vice President, National Business Lines

St. Joseph Health System

Gene Woods – President & CEO

Jewish Hospital and St. Mary's Health Care

Gerald D. Temes, M.D. – Jewish Hospital HealthCare Services Board Chair

Janice James – Jewish Hospital & St. Mary's HealthCare Transition CEO

David Laird – Senior Vice President

President Ramsey recognized people assisting UofL in these discussions:

Jennifer Elliott and Greg Davis with Stites & Harbison

Joan Coleman, UMC Board of Directors
Jim Taylor, University of Louisville Hospital's CEO and President
Mark Carter, financial consultant

President Ramsey noted that even as national health care reform takes effect, Kentucky continues to face serious challenges with access to care and the health status of its residents. Statistics included:

- More than half of the state was designated as medically underserved;
- There is growing scarcity of physicians across the state;
- Kentucky was ranked among the top 10 states with the worst health indicators for cancer, obesity and death due to heart disease and stroke;
- First in lung cancer and 50% higher than the national incidence;
- Fourth in overall cancer incidence in 2006;
- Seventh in the incidence of obesity in 2008;
- Seventh in the overall number of deaths associated with cardiovascular disease;
- Ninth in the number of deaths from heart disease;
- Ninth in the number of deaths from stroke;
- Shortage of 3,000 physicians by 2020

The President continued with the following presentation.

Vision Statement for Creating a Statewide Network

President Ramsey recognized creating this network as the premier, integrated comprehensive health system in the Commonwealth would make it known for efficiently providing the highest quality care and service close to home; for reducing the incidence of disease; and for eliminating inequities in access throughout the communities we serve. With unmatched geographic reach, the University of Louisville was differentiated by its faith based and academic heritage, developing the best next generation of healthcare professional, and for being the fastest in translating research from bench to bedside. He said because the University has been a vigorous nationally-recognized health system, the University was also the go-to organization for any major health policy initiative in the State.

Combined Opportunities

When finalized, he affirmed the new partnership will:

- Have statewide geographic reach
- Include a capital investment by Catholic Health Initiatives exceeding \$300 million throughout the Commonwealth of Kentucky
- Expand the Academic Medical Center in Louisville to include the University of Louisville Hospital, James Graham Brown Cancer Center, Jewish Hospital and Frazier Rehab Institute
- Extend the research and teaching programs of the University of Louisville statewide
- Governed through a community board of trustees representing the Commonwealth that will have fiduciary responsibilities
- Provide Seamless care for patients
- Create new physician partnerships

- Partner, promote and train more physicians

President Ramsey showed maps depicting the extent of the geographic reach of clinics and affiliates. He said over 2 million citizens would have access to the newly formed network. The network would expand to virtually all 120 Kentucky counties.

Combined Strength

President Ramsey recognized the following strengths of the proposed partnership:

- Presents over 3000 physicians
- Connects 91 locations
- Has a statewide reach
- Addresses the challenges of health care reform
- Provides academic medicine
- Serves translational research
- Offers faith based care
- Includes advocacy and care for the poor and marginalized

Why Combine?

Anticipating the question of why combine services, President Ramsey said the partnership would

- Better meet challenges of health care reform through
 - Accountable Care Organizations
 - Higher Quality and Lower Cost
- Enhance programs and services of the academic medical center
- Access to capital funding
- Address current clinical care capacity issues

With the board's action today, President Ramsey said all governing bodies connected to each partner will have approved a Letter of Intent (LOI) to create an integrated healthcare organization for the improved care of the citizens of the Commonwealth.

- The LOI clears the way for
 - The partners to begin formally discussing details of the new organization
 - Negotiation of a formal agreement
 - Seek regulatory approval

President Ramsey called upon the partners to speak.

Mr. Woods expressed St. Joseph's enthusiasm for this partnership, recognizing there is no other entity providing a single integrated service.

On behalf of the JHHS board, Dr. Temes said they were very excited about the opportunity for Kentucky, for the facilities and employees of all institutions and medical community. JHHS has a long history of working with UofL and with Catholic Health Initiatives. He expressed confidence in the new direction for healthcare in Kentucky.

Ms. James and Ms. Coleman reiterated their enthusiasm to be involved in the partnership.

Mr. Taylor concurred, noting a tremendous opportunity for the state.

Mr. Carter reported the University Medical Center retained his firm, DDF, as a financial advisor to access capital, i.e., accumulate funds to invest in the medical center so it can grow. He said Dr Taylor requested the Kauffmann firm review debt capacity of University Hospital approximately two years ago. The review looked at debt capacity of each of the parties. DDF primarily used that data and reviewed hospital financial statements, etc. to provide advice to the University on capital aspects. Mr. Carter commented on UMC's operations and funding as well as the management team and board's success for implementing that strategy.

Dr. Cook said he was privileged to be a part of this process and work with President Ramsey and the other representatives. Dr. Cook observed the partnership participants looked diligently at preserving the University's School of Medicine, its autonomy, research and rights and privileges and privacy of faculty, and considered its available options. He, and colleagues of the University in this process, observed this was an excellent option. He enthusiastically endorsed the partnership.

Dr. Edward Halperin, who serves as Dean of the UofL School of Medicine, Ford Foundation Professor of Medical Education and Professor of Radiation Oncology, Pediatrics and History observed the following comments:

You have heard the basic arguments in favor of approval of the LOI regarding an affiliation agreement. These include improved access to capital for our academic health center, availability of increased operating room and hospital bed capacity, access to a primary care network, improved venues for clinical instruction and clinical research, the opportunity to expand an academic program in physical medicine and rehabilitation, synergies in the operation of the cancer center, and augmentation of our already strong relationships with Jewish Hospital in cardiothoracic surgery and solid organ transplantation.

In analyzing the proposals in LOI, I have done what any physician-scientist would ordinarily do: conduct research. I have read extensively from the books published on hospital mergers, the peer reviewed literature, and I have methodically conducted telephone and email interviews with academic and private practice physicians who have experience with affiliation agreements. I have personally visited institutions to learn from their successes and failures. I have lived through two such processes at Duke and observed a third at the University of North Carolina.

I, along with a ten-member faculty committee, having reviewed the literature and given great thought to the proposal before you, addressed the concerns and expectations of the faculty regarding academic promotion and tenure, work assignments, undergraduate and graduate medical education, clinical research, governance, appointments of Chiefs of Service, and clinical care. Legal counsel have taken our recommendations and operationalized them within the LOI via an academic affairs committee which is responsible for the protection of the academic enterprise in the proposed entity.

The proposal before you provides an extensive list of protections for the school and its research, educational and clinical missions.

My colleagues and I have given thought to the issues of reproductive health care which might be affected by the proposal before you. Simultaneously respecting the ethical and religious directives (ERDs) of the Roman Catholic Church, providing women's health services, and translational research, and instruction which is mandated for medical students and obstetrics and gynecology residents is not a problem. It's an opportunity and is eminently solvable.

I have poured over the published literature on mergers involving Catholic hospitals and public hospitals and have benefited from the counsel of my fellow deans.

A shared commitment to the academic freedom of professors to teach, students to learn, and a free discourse of ideas have produced written assurances in the LOI to preserve the primacy and privacy of the doctor-patient relationship and absolute assurances of the academic freedom of the school to determine and implement its own curriculum.

It is clear to me that, at other institutions in the United States, mechanisms have been created to preserve what the faculty views as essential to preserve reproductive health options and translational research while simultaneously remaining sensitive to the ERDs of the Catholic Church.

The School of Medicine exists for the generation, conservation, and dissemination of knowledge about the causes, prevention, and treatment of human disease. The proposal before you concerns creating the future of academic medicine. Efforts to create the future are fundamentally hopeful acts. The best way to predict the future is to invent it. The document before you preserves the indigent care, research, educational, and service missions of the academic medical center. It is in the best traditions of a people's university.

Dean Halperin concluded his comments by recommending a vote in favor of the motion.

Mr. Edgett, representing Catholic Health Initiatives of Denver, reported the CHI leadership team was happy to enter into agreement with UofL and JHHS, while bringing St. Joseph to the partnership. He observed the long history of the organizations for providing care and recognizing their common values. The opportunity to partner with other organizations is new to CHI, and representatives there look forward to building values around research. He recognized that not only did Kentucky benefit from this partnership, but also across 20 states where CHI has significantly invested. Mr. Edgett thanked members involved in the partnership discussions.

President Ramsey recognized board members, Mr. Robert Rounsavall and Dr. Robert Curtis Hughes, who represented the trustees and the University Hospital. They participated in these discussions not only from a financial perspective, but also an academic perspective. Mr. Rounsavall emphasized the process was long and complicated. He complimented all leaders of the organizations. On many occasions, the leaders could have said this was too tough or hard, but they continued to bring everyone together, therefore, creating an integrated vision statement.

Dr. Hughes thanked Dean Halperin for his thoughtfulness and depth of comments. Dr. Hughes reported he and Mr. Rounsavall were involved from the beginning and thanked everyone for their dedication and hard work. Dr. Hughes noted the far-reaching possibilities of this partnership and stated his whole-hearted endorsement. Dr. Hughes then made a motion, which Mr. Rounsavall seconded, to approve the

Board of Trustees' authorization of President Ramsey or his designee to finalize discussions and execute a non-binding letter of intent to create an integrated health services organization to improve the quality of care for the people of Kentucky.

The motion passed with Ms.Scoppechio abstaining.

The board took a brief recess at 2:46 and resumed its meeting at 3:05 p.m.

IV. Other Business

Chair Frazier reconvened the meeting at 3:05 p.m. Judge Jackson, Chair of the Finance Committee, made the following motion, which Ms. Moore, Chair of the Audit Committee, seconded:

On behalf of the Finance Committee and with the support of the Audit Committee, we move that the Board of Passport present to the next Finance Committee (January 13, 2011) their response to the recommendations of the State Auditor. While the Board of Trustees does not have responsibility for Passport, the involvement of the University of Louisville faculty-physicians makes it important for the Board of Passport to provide this information to the Trustees Finance Committee and Audit Committee of the University.

The motion passed.

President Ramsey reported the University held its capital campaign kick-off on November 10. At the kickoff event, President Ramsey announced the University has raised \$370 Million toward its \$750 Million goal. This accomplishment to date has far exceeded expectations. He showed the video from the event and thanked Chair Frazier for his support and everyone who attended. (Judge Jackson departed at 3:10 p.m.)

V. Action Item: Approval of the Creation of a Graduate Nurse Practitioner Certificate

President Ramsey called upon Provost Willihnganz for a summary. She reported the program consists of four tracks: Family Nurse Practitioner, Psychiatric Nurse Practitioner, Neonatal Nurse Practitioner, and Adult Nurse Practitioner.

Dr. Willihnganz recognized the Advanced Practice Nurses as a critical component in the new models of health care reform. The University of Louisville will provide specialty training in a post-master's certificate format as an expeditious way to train nurses who already have a graduate nursing degree but wish to specialize further. Applicants must currently hold a Master of Science degree in Nursing from an accredited institution and have one year of experience as a registered nurse.

She further noted the certificates are required by the Kentucky Board of Nursing administrative regulation process (HB179). Not only does the KBN now require a post-master's certificate, the certification bodies are now requiring a post-master's certificate to sit for the licensure examination. Since certification is required in order to become licensed, the student must obtain formal post-master's certification in order to practice. Ms. Abrams made a motion, which Ms. Scoppechio seconded, to approve the

President's recommendation that the Board of Trustees approve the creation of a graduate nurse practitioner certificate.

The motion passed.

VI. Action Item: Authorization of Executive Committee to Act on Grawemeyer Awards, Designations and Namings, and Routine Personnel Matters

President Ramsey explained that, according to its bylaws, the Board of Trustees does not routinely meet in the month of December. The Board of Trustees will not meet between November 11 and February 8, 2011. The President, therefore, requested that the Board authorize the Executive Committee to act for the Board during this timeframe. Dr. Hughes made a motion, which Ms. Abrams seconded, to approve the

Chair's recommendation that the Board authorize the Executive Committee to take action on the following:

- **Adopt Grawemeyer Awards for 2011;**
- **Monthly personnel actions and routine personnel policy revisions;**
- **Designations and awards;**
- **Other matters of housekeeping nature.**

The motion passed.

VII. Information Item: Update on Diversity

Provost Willihnganz introduced Dr. Mordean Taylor-Archer, Associate Provost for Diversity. Dr. Taylor-Archer recognized the President and Provost for their strong commitment to diversity, moving forward so forcefully.

Dr Taylor-Archer discussed the steps taken in achieving diversity:

Diversity Planning – Summary of Goals Achieved

In 2008-2009, **88%** of the units' aggregate goals were achieved; that number increased to **91%** in 2009-2010

Achieved 8 of 8 of the CPE Kentucky Plan Goals*

(Diversity in Student Enrollment, Retention, Graduation; Workforce)

Note: New Statewide Diversity Policy was adopted by CPE September 12, 2010.

It provides the framework under which all state-supported colleges and universities are to develop their diversity plans.

Diversity in student body enrollment*

In 2008-2009, **3,562** students of color; 2009-2010 there were **3,702**

Diversity in the Faculty

In 2009-2010 there were **2,125**, of which **836** (39%) were women and **399** (19%) were faculty of color

Dr. Taylor-Archer reported the University currently has filled **92** endowed chairs, of which **15** (16%) are faculty of color, and **12** (13%) are women.

With respect to international diversity, Dr. Taylor-Archer reported:

Increase in number of students studying abroad

- In 2008, **382** students participated in study abroad programs
- In 2010, number of students increased to **597** (56% increase)

2020 Goal for number of faculty teaching, conducting research or providing service achieved

The current 2020 Strategic Plan goal is **300**; in 2010, the actual number was **337**

Dr. Taylor-Archer discussed the following improvements to the International Center:

Provost's Task force on International Initiatives (completed in 2007)

Implemented the following recommendations:

- Hired additional International Center staff
- More individualized counseling for students planning to study abroad and international students
- Building Renovations to enhance services and create a more welcoming climate
- Creation of International Affairs Advisory Committee

Dr. Taylor-Archer reported on International Policies and Initiatives:

Composition: campus representatives from the academic units, Financial aid, Honors Program, travel department, and student services offices

Purpose: to review existing policies and procedures and recommend new ones as needed to integrate and streamline services and help eliminate barriers to international study and research

She noted improvements to the International Center included:

- A **direct enrollment policy** for students participating in study abroad opportunities at universities that do not have exchange agreements with UofL or are not approved institutions through Federal Financial Aid
- Protocol for faculty, staff and students to study and conduct research in countries on the State Department Travel Warning List
- Templates developed and approval guidelines established for international agreements, ensuring that university legal standards are met
- Took the lead in supporting the creation of "**Education Kentucky**," a state-wide consortium whose mission is to promote the Commonwealth as a destination for international students to study

Dr. Taylor-Archer discussed a few examples of enhanced opportunities to study abroad:

- Ali Scholars - England and Ghana

- Student Affairs – Philippines, Botswana and Belize
- Arts & Sciences - China, Panama and Trinidad
- Business – Poland, Turkey, Dubai, Germany
- Medicine – Kenya and Ecuador
- Music – China and South Korea

She discussed the following ways in which the University is improving campus climate:

Great Places to Work initiatives:

- Cards Under the Stars
- Campus Climate Committee Recommendations
- Family-Friendly Recommendations

Campus Climate Surveys conducted in Spring 2010

- CODRE, COSW, Great Places to Work, Part-time Faculty Committee produced a comprehensive instrument to survey the needs of faculty, staff and students

President’s Message Regarding Respect

- Urged campus community to follow the example set by our student-athletes, who work together despite their different roles to reach a common goal

Bias Incident Response Team (BIRT)

The Bias Incident Response Team (BIRT) is a group of faculty and staff who are committed to creating a proactive response to instances of hate and bias in the following ways:

- **Support** those who are targeted by hate or bias
- **Refer** them to the resources and services available
- **Educate** the campus community about the impact of hate and bias
- **Promote** initiatives and new ideas that further a welcoming, bias- and hate-free climate at U of L

She discussed opportunities for cross-cultural interaction, which included “Let’s Talk Lunches,” Inclusive Teaching Circles, International Teas, and Difficult Discussions.

Dr. Taylor-Archer summarized COSW’s recommendations from a 2009 follow-up study that have been implemented, as well as the Hispanic/Latino initiative.

Dr. Hughes complimented Dr. Taylor-Archer and recognized UofL as a school of opportunity.

Dr. Cosby congratulated Dr. Taylor-Archer for her work and her passion. This semester for the first time, in maybe 80 years, the University of Louisville has two classes on the oldest HBCU in the state of Kentucky (Simmons College of Kentucky). There are 30 UofL students taking classes at Simmons College. He recognized the very profound impact on the western part of the city.

VIII. Action Item: Approval of Documents Related to the HSC Energy Savings Performance Contract Bond Issue

President Ramsey summarized the documents relating to the energy performance bond issue. Ms. Abrams made a motion, which Dr. Hughes seconded, to approve

The President's recommendation that the Board of Trustees:

approve the issuance of the \$25,000,000 University of Louisville General Receipts Bonds, 2010 Series A and B(below); and

authorize the President or his designee to execute any documents required to complete the legal and financial transaction. This debt service will not result in an increase in tuition or fees.

SERIES RESOLUTION

A RESOLUTION PROVIDING FOR THE AUTHORIZATION, ISSUANCE AND SALE OF APPROXIMATELY \$25,000,000 GENERAL RECEIPTS OBLIGATIONS (ENERGY SAVINGS PROJECT) OF THE UNIVERSITY OF LOUISVILLE, PURSUANT TO THE TRUST AGREEMENT DATED AS OF MARCH 1, 2007.

WHEREAS, the University of Louisville (herein called the "University"), a public body corporate and an educational institution and agency of the Commonwealth of Kentucky, by resolution adopted by the Board of Trustees of the University on February 21, 2007 (herein called the "General Bond Resolution"), and by a Trust Agreement, dated as of March 1, 2007, as supplemented (herein called the "Trust Agreement"), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the Trust Agreement) of the University secured by a pledge of the University's "General Receipts" (as defined in the Trust Agreement), each such issue to be authorized by a Series Resolution, as required by the Trust Agreement; and

WHEREAS, the Board of Trustees of the University (the "Board") has determined that it is necessary to finance the costs of certain capital improvements related to a Guaranteed Energy Savings Performance Contract (the "Project") by the issuance of Obligations (the "Energy Savings Obligations"); and

WHEREAS, by authority of Sections 162.340 to 162.380 of the Kentucky Revised Statutes, Chapter 56 of the Kentucky Revised Statutes and Sections 58.010 to 58.140 of the Kentucky Revised Statutes (collectively, the "Act") and H.B. 1 of the General Assembly of the Commonwealth of Kentucky, 2010 First Extraordinary Session, as enacted and vetoed in part, the University is authorized to enter into guaranteed energy savings performance contracts, to issue its obligations to pay all or part of the costs of such capital assets, and to secure said obligations by a pledge of and lien on all or such part of the revenues and receipts of the University; and

WHEREAS, the Board, in order to pay the costs of the Project, desires to provide for issuance and sale of University of Louisville General Receipts Bonds, in one or more series, and for other matters in connection therewith, by the adoption of this Resolution;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY OF LOUISVILLE, AS FOLLOWS:

SECTION 1. Definitions and Interpretations. All words and terms defined in Section 1 of the Trust Agreement and all interpretations therein provided shall have the same meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use clearly indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the "2010 Resolution," the Obligations authorized by this Resolution are sometimes herein called and may be referred to herein (and in the Supplemental Trust Agreement or Supplemental Trust Agreements hereby authorized) as the "Energy Savings Obligations," and the terms "hereof," "hereby," "hereto," "herein," and "hereunder," and similar terms, mean this Resolution.

SECTION 2. Authority. This Resolution is adopted pursuant to the General Bond Resolution, the Trust Agreement, and the Act.

SECTION 3. Authorization, Designation and Purpose of Obligations. It is hereby declared to be necessary to, and the Board shall, issue, sell and deliver, as provided and authorized herein Energy Savings Obligations in the aggregate approximate principal amount of \$25,000,000 as General Receipts Obligations which shall be issued as General Receipts Bonds (the "Project Bonds"). Such Energy Savings Obligations shall be designated "University of Louisville General Receipts Bonds" or, if the Bonds are issued as Build America Bonds and/or Qualified Energy Conservation Bonds, each as hereinafter defined, "University of Louisville General Receipts Bonds Taxable Build America Bonds" and "University of Louisville General Receipts Bonds Taxable Qualified Energy Conservation Bonds," and shall bear such further series designations as the Fiscal Officer (as defined in the Trust Agreement) deems appropriate. Such Energy Savings Obligations shall be issued for the purpose of (i) financing the costs of the Project and (ii) paying costs of issuance in connection with such Energy Savings Obligations. The proceeds from the sale of such Energy Savings Obligations shall be deposited and allocated as provided in Section 6 hereof.

SECTION 4. Terms and Provisions Applicable to the Obligations.

(a) **Form, Numbering and Designation.** The Energy Savings Obligations shall be issued in the form of fully registered Obligations as approved by the Fiscal Officer, shall be numbered from 1 upwards, by series, and shall bear such series designations as the Fiscal Officer deems appropriate.

(b) **Denomination and Dates.** The Energy Savings Obligations shall be in such denominations as requested by the Original Purchaser (hereafter defined), and shall be dated on the date determined by the Fiscal Officer and may be issued in installments (each installment being a part of the Energy Savings Obligations herein authorized) with maturity dates approved by the Fiscal Officer, having a final maturity that is no later than seventeen years after the Energy Savings Obligations are issued.

(c) **Interest.** The Energy Savings Obligations shall bear interest from their issue dates, payable on dates approved by the Fiscal Officer, beginning on a date approved by the Fiscal Officer, at the rate or rates per annum determined pursuant to Section 5 hereof.

(d) **Maturities.** The Energy Savings Obligations shall mature on such dates, in the years and in the principal amounts set forth in the maturity schedule approved by the Fiscal Officer pursuant to Section 5 hereof.

(e) **Redemption Terms and Prices.** The Energy Savings Obligations shall be subject to optional and mandatory redemption on such dates and terms as approved by the Fiscal Officer, with the advice of the Financial Advisor (hereinafter identified) and set forth in the Supplemental Trust Agreement. If less than all of the outstanding Energy Savings Obligations are called for redemption at one time, they shall be called in the order of the maturities and series as directed by the Fiscal Officer. If less than all of the outstanding Energy Savings Obligations of one maturity are to be called, the selection of such Energy Savings Obligations or portions of such maturity to be called shall be made in the manner provided in the Trust Agreement. Notice of call for redemption of such Energy Savings Obligations shall be given in the manner provided in the Trust Agreement.

(f) **Other Provisions.** The Energy Savings Obligations may, at the option of the Fiscal Officer, be secured by municipal bond insurance or similar instrument issued by a financial or insurance institution acceptable to the Fiscal Officer.

(g) **Place of Payment and Paying Agents.** The principal, interest and any redemption premium on registered Energy Savings Obligations shall be payable by check or draft, as provided in the Trust Agreement.

(h) **Execution.** The Energy Savings Obligations shall be executed in the manner provided in the General Bond Resolution.

(i) **Build America Bond and/or Qualified Energy Conservation Bond Designation.** The Board hereby retains the option that the Energy Savings Obligations or a portion of the Energy Savings Obligations may be designated as Build America Bonds (the "Build America Bonds"), as permitted by the American Recovery and Reinvestment Act of 2009 (the "Recovery Act"), and/or as Qualified Energy Conservation Bonds, (the "Qualified Energy Conservation Bonds"), as permitted by the Recovery Act and Hiring Incentives to Restore Employment Act of 2010 (the "Hire Act").

The Fiscal Officer is hereby authorized and directed to designate all or a portion of the Energy Savings Obligations as Build America Bonds and/or Qualified Energy Conservation Bonds, which Energy Savings Obligations, if so designated, shall bear interest which shall be included in gross income of bondholders for federal income tax purposes. Build America Bonds are any obligation (other than a private activity bond) the interest on which would otherwise be excludable from gross income under Section 103 of the Internal Revenue Code of 1986, as amended (the "Code"). Therefore, with respect to any Energy Savings Obligations designated as Build America Bonds, such Energy Savings Obligations will comply with all requirements applicable to the issuance of tax-exempt governmental bonds. Qualified Energy Conservation Bonds are obligations permitted by the Recovery Act and the Hire Act, (a) 100% of the "available project proceeds" of which shall be used for one or more qualified conservation purposes, (b) which are issued by a state or local government, (c) which are irrevocably designated as Qualified Energy Conservation Bonds by the University pursuant to Section 54D(a)(3) of the Code, (d) which meet all other requirements set forth in Sections 54A and 54D of the Code and, if an election is made, Section 6431(f) of the Code (and federal regulations applicable thereto) and IRS Notice 2010-35, and (e) the issue price of which does not have more than a de minimis amount of premium over the stated principal amount, as determined under rules similar to the rules of Section 1273(a)(3) of the Code governing original issue discount, subject, however, to certain adjustments to the arbitrage rules of Section 148 of the Code and to the federal guarantee provisions of Section 149 of the Code applicable to Qualified Energy Conservation Bonds. Therefore, with respect to any Energy Savings Obligations designated as Qualified Energy Conservation, such Energy Savings Obligations will comply with all the requirements set forth in the preceding sentence.

With respect to any Energy Savings Obligations designated as Build America Bonds, the Board hereby authorizes the Fiscal Officer to irrevocably elect, pursuant to Section 54AA(g) of the Code, the direct credit payment to issuer option as provided in Section 6431 of the Code under which the United States Treasury will pay to the University 35% of the interest payable on such Energy Savings Obligations (the "Credit Payments") (contemporaneously with each interest payment date for such Energy Savings Obligations) so long as the Energy Savings Obligations comply with all federal tax requirements of the Build America Bonds. With respect to any Energy Savings Obligations designated as Qualified Energy Conservation Bonds, the Board hereby authorizes the Fiscal Officer to irrevocably elect, pursuant to Section 54A of the Code, the direct credit payment to issuer option as provided in Section 6431 of the Code, under which the United States Treasury will pay to the University 70% of the lesser of (a) the amount of interest payable on such Energy Savings Obligations, or (b) the amount of interest that would have been payable under such Energy Savings Obligations on the interest payment date if the interest was determined at the applicable credit rate determined under Code Section 54A(b)(3) with respect to such Energy Savings Obligations (the "Qualified Energy Conservation Payments").

The Fiscal Officer or his or her designee is hereby authorized and directed to execute and file on behalf of the Board one or more "Return for Credit Payments to Issuers of Qualified Bonds" (Form 8038-CP) with the United States Department of the Treasury on the dates and at the place designated in Form 8038-CP and applicable provisions of the Code and Treasury Regulations issued thereunder for the Build America Bonds and Qualified Energy Conservation Bonds. Funds received by the Board pursuant to the filing of Forms 8038-CP shall be deposited to the credit of the Revenue Fund or the Debt Service Payment Account for the Energy Savings Obligations, established within the University of Louisville General Receipts Obligations Debt Service Fund, established under Section 4.01 of the Indenture, as appropriate, to provide for the timely payment of principal or interest on any Build America Bonds and Qualified Energy Conservation Bonds.

SECTION 5. Award and Sale of Energy Savings Obligations. The Energy Savings Obligations shall be offered publicly for sale upon the basis of competitive bids at such time as the Fiscal Officer, upon advice of the Financial Advisor to the University, shall designate.

The Fiscal Officer is hereby authorized and directed to cause an appropriate form or forms of a Notice of Sale of Bonds to be published in *The Courier Journal*, a legal newspaper published in the City of Louisville, Kentucky, which will afford local and statewide notice of the sale, and, to the extent required by law, and, to the extent required by law, in *The Bond Buyer*, a financial journal published in the City of New York, New York, which is a publication having general circulation among bond buyers; and said newspapers and financial journal are hereby declared to be qualified to publish such notice for the Board within the meaning and provisions of Chapter 424 of the Kentucky Revised Statutes. Such notice shall be published in said newspapers and financial journal at least once not less than seven nor more than twenty-one days prior to the scheduled date of sale of the Energy Savings Obligations.

The forms of Notice of Bond Sale, Official Terms and Conditions of Sale of Bonds, Bid Form and Official Statement, shall be in such form as approved by Bond Counsel for the University, by the Financial Advisor, by the General Counsel of the University and by the Fiscal Officer.

Bidders shall be advised that the fee of the Financial Advisor for services rendered with respect to the sale of the Energy Savings Obligations is contingent upon the issuance and delivery of the Energy Savings Obligations, and that the Financial Advisor may submit a bid for the purchase of such Energy Savings Obligations at the time of the advertised public sale thereof, either individually or as the member of a syndicate organized to submit a bid for the purchase of such Energy Savings Obligations.

Upon the date and at the respective hour set forth for the submission and consideration of purchase bids, as provided in the instruments hereinabove approved, bids shall be reviewed as provided in such

instruments. If there shall be one or more bids which conform in all respects to the prescribed terms and conditions, such bids shall be compared, and the Fiscal Officer, upon the advice of the Financial Advisor, is authorized to accept the best of such bids, as measured in terms of the lowest interest cost to the Board, as calculated in the manner prescribed in the Official Terms and Conditions of Sale of Bonds. Calculations shall be performed as are necessary to determine the exact amount of Energy Savings Obligations that are required to be issued in order to (i) pay the budgeted costs of the Project, and (ii) pay the costs of issuing the Energy Savings Obligations and the final principal amount, interest rates and maturities of the Energy Savings Obligations shall thereupon be established, as prescribed in the Official Terms and Conditions of Sale of Bonds.

SECTION 6. Allocation of Proceeds of Energy Savings Obligations. All of the proceeds from the sale of the Energy Savings Obligations and other lawfully available funds of the University shall be received and receipted for by the Fiscal Officer and shall be deposited and allocated as set forth in the applicable Supplemental Trust Agreement approved hereby.

SECTION 7. Additional Covenants with Respect to Internal Revenue Code of 1986, as Amended. This Board hereby finds and determines that all of the proceeds from the sale of the Energy Savings Obligations will be needed for the purposes set forth in Section 6 hereof. This Board hereby covenants for and on behalf of the University, that it will restrict the use of the proceeds of the Energy Savings Obligations in such manner and to such extent, if any, and take such other actions as may be necessary, in view of reasonable expectations at the time of issuance of such Obligations, so that, as applicable, (i) the Energy Savings Obligations will not constitute obligations the interest on which is subject to federal income taxation or "arbitrage bonds" under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as amended (the "Code"), and regulations prescribed under such Sections and/or (ii) will continue to qualify as Build America Bonds and/or Qualified Energy Conservation Bonds under Sections 54AA and 6431 of the Code. The Fiscal Officer or any other officer of the University having responsibility with respect to issuance of the Energy Savings Obligations is hereby authorized and directed to give an appropriate certificate for inclusion in the transcript of proceedings with respect to the Energy Savings Obligations, setting forth the facts, estimates and reasonable expectations pertinent under said Sections 103(b)(2) and 148 of the Code and an election, if appropriate, with respect to Section 148(f)(4)(B)(IV)(V) of the Code. The Fiscal Officer is hereby authorized and directed to create a Rebate Account (which shall be held by either the University or the Trustee, at the discretion of the Fiscal Officer) if the Fiscal Officer determines such account is necessary so that the University complies with the rules concerning "rebate" as set forth in the Code, as they apply to the Energy Savings Obligations.

SECTION 8. Supplemental Trust Agreement. The Chair of the Board is authorized and directed to execute, acknowledge and deliver to the Trustee, in the name of and on behalf of the University, one or more

Supplemental Trust Agreements pursuant to the Trust Agreement and in connection with the issuance of the Energy Savings Obligations, in the prescribed form, with such changes therein not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer executing the same on behalf of the University. The approval of such changes, and that such changes are not substantially adverse to the University, shall be conclusively evidenced by the execution of such Supplemental Trust Agreement by such officer.

SECTION 9. Official Statement. The Chair is hereby authorized and directed to execute and deliver an Official Statement with respect to the Energy Savings Obligations for the purpose of making available to potential investors the information therein contained, which describes the interest rates and other terms to be borne by and the price to be paid for the Energy Savings Obligations, and such other information with respect to the University and the Energy Savings Obligations, necessary in the judgment of the Chair with the advice of the Fiscal Officer and the Financial Advisors. The Chair and the Fiscal Officer are each hereby authorized to deem the Preliminary Official Statement and final Official Statement "near final" and "final" for purposes of Securities Exchange Commission Rule 15c2-12, as amended and interpreted from time to time, promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934 (the "Rule").

SECTION 10. Compliance With Rule 15c2-12. The Board of Trustees hereby agrees, to comply with the provisions of the Rule. In order to comply with the Rule, a Continuing Disclosure Agreement in the usual and customary form is hereby authorized and approved, with such modifications and additions as may be approved by the officer of the University executing the same. The Chair and the Fiscal Officer are each hereby authorized to execute and deliver such Continuing Disclosure Agreement.

SECTION 11. Open Meetings. This Board hereby finds and determines that all formal actions relative to the adoption of this Resolution were taken in an open meeting of this Board, and that all deliberations of this Board and of its committees, if any, which resulted in formal action, were taken in meetings open to the public, in full compliance with applicable legal requirements.

SECTION 12. Further Authorization. That the proper and appropriate officers of the Board and of the University, to the extent authorized by law, are hereby authorized to execute and deliver the closing certificates, if any, with such modifications thereto as may be required by the purchasers of the Energy Savings Obligations and approved by special bond counsel to the University as well as such other documents, certificates and statements as may be so required and so approved in connection with sale and delivery of the Energy Savings Obligations.

SECTION 14. Provisions in conflict are Repealed. All resolutions or parts thereof in conflict with the provisions of this Resolution are hereby rescinded to the extent of such conflict.

SECTION 15. Effective Date. This resolution shall take effect from and after its passage.

SECTION 16. Copy to be Filed with Trustee. A certified copy of this Resolution shall be filed with the Trustee

The motion passed.

IX. Action Item: Approval of Endowment Match Annual Report

Vice President Curtin noted the Endowment Match Program encourages private investment in public higher education research activities to stimulate business development, generate increases in externally sponsored research, create better jobs and a higher standard of living, and facilitate Kentucky's transition to a knowledge-based economy. The program matches public funds with private gifts to fund endowed chairs, professorships, fellowships, scholarships, and mission support at the public universities.

The CPE has directed the state universities to provide detailed annual reports describing how the state and matching funds are used during the fiscal year. The report includes such items as the number of endowed chairs and professorships, the specific support services attached to the chairs and professorships, and the benefits of the program to the Commonwealth of Kentucky in terms of jobs, revenue growth, creation of wealth, and improved quality of life. The University of Louisville has identified institutional outcomes, such as increases in sponsored research directly attributed to the program, changes in the quality of students and measurable outcomes such as retention, graduation, pursuit of advanced study, and employment as well as the creation and profitable use of intellectual property. Ms. Abrams made a motion, which Dr. Selvidge seconded, to approve

the President's recommendations that the Board of Trustees approve the Endowment Match Program 2009-2010 Annual Report as requested by the Council on Postsecondary Education.

The motion passed.

X. Executive Session

Dr. Hughes made a motion, which Dr. Selvidge seconded, to go into executive session at 3:35 p.m. to discuss a personnel matter. The motion passed.

XI. Open Session Reconvenes

Chair Frazier reconvened the open session at 4:40 p.m. He reported a personnel matter was discussed. Dr. Hughes made a motion, which all trustees seconded to

Accept the President's recommendation that the employment of C. Patrick McGraw, Ph.D., be terminated effective as of today's date, November 11, 2010.

The motion passed.

XII. Adjournment

The meeting adjourned at 4:45 p.m.

BOARD ACTION:

Passed _____ X _____

Did not pass _____

Other _____

Asst. Secretary *Katalin M. Smith*

RECOMMENDATION TO BOARD OF TRUSTEES

**November 11, 2010 (Personnel Committee)
November 11, 2010 (Board of Trustees)**

The President recommends:

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

COLLEGE OF EDUCATION AND HUMAN DEVELOPMENT

Jennifer Bay-Williams, Ph.D., Professor, Department of Middle and Secondary Education; change of additional appointment from Acting Chair to Chair, Department of Middle and Secondary Education, November 11, 2010. The appointment as Chair is at the pleasure of the Board of Trustees.

Terrance Michael Scott, Ph.D., Professor, Department of Special Education; change of additional appointment from Acting Chair to Chair, Department of Special Education, November 11, 2010. The appointment as Chair is at the pleasure of the Board of Trustees.

Committee Action:

Passed: X

Did Not Pass:

Other:

Board Action:

Passed: X

Did Not Pass:

Other:

Approved by:

Katalin M. Smith
Asst. Secretary

Approved by:

Katalin M. Smith
Asst. Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING PERSONNEL DOCUMENT
OF THE UNIVERSITY LIBRARIES

Personnel Committee – November 11, 2010
Board of Trustees – November 11, 2010

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the revised University Libraries personnel document in the form attached, to be effective immediately.

Committee Action:

Passed: X

Did Not Pass:

Other:

Board Action:

Passed: X

Did Not Pass:

Other:

Katalin M. Smith
Assistant Secretary

Katalin M. Smith
Assistant Secretary

**UNIVERSITY OF LOUISVILLE
UNIVERSITY LIBRARIES FACULTY
PERSONNEL DOCUMENT**

The University Libraries Faculty (ULF) consists of all full and part-time library faculty members. The function of the ULF is to ensure that the goals and objectives embodied in the unit's vision statement are carried out in service to the University of Louisville and the local and professional communities.

The *University Libraries Faculty Personnel Document* establishes the personnel policy for the ULF in accordance with *The Redbook* and the *Minimum Guidelines for Faculty Personnel Reviews*. This document covers policies and procedures for:

- 1 Faculty Appointments
 - ~~1.1 Types of Faculty Appointments~~
 - ~~1.1.1 Non-tenurable Faculty Appointments~~
 - ~~1.1.2 Probationary Appointments~~
 - ~~1.1.3 Tenure Appointments~~
 - ~~1.2 Faculty Rank for New Appointments~~
 - 1.1 Full-time Appointments
 - 1.2 Part-time Appointments
 - 1.3 Emeritus Faculty
 - 1.4 Rank for New Appointments
- 2 Evaluations
 - 2.1 Performance Criteria
 - 2.2 Annual Review
 - 2.2.1 Introduction
 - 2.2.2 Annual Workplan
 - 2.2.3 Annual Review Procedure
 - 2.2.4 Annual Review Appeal Process
 - 2.3 Promotion and Tenure Review
 - 2.3.1 Promotion Review ~~Time Required~~
 - 2.3.2 Procedures for Promotion ~~Leaves of Absence~~
 - 2.3.3 Tenure Review ~~Extension of a Probationary Period~~
 - 2.3.4 Procedures for Tenure ~~Prior Service~~
 - ~~2.3.5 Pre-Tenure Review~~
 - ~~2.3.6 Early Tenure~~
 - ~~2.3.7 Criteria for Tenure~~
 - ~~2.3.8 Procedures for Promotion and Tenure~~
 - ~~2.4 Promotion Review~~
 - ~~2.4.1 Criteria for Promotion in Rank for Full-Time Faculty~~
 - ~~2.4.2 Criteria for Promotion in Rank for Part-Time Faculty~~
 - ~~2.4.3 Prior Service~~
 - ~~2.4.4 Procedures for Promotion~~
 - 2.4 Periodic Career Review
 - 2.5 Contract Renewal ~~for Term Faculty~~
 - 2.5.1 Contract Renewal for Probationary Faculty
 - 2.5.2 Contract Renewal ~~Review Procedure for Term Faculty~~

2.5.3 Contract Renewal for Part-Time Faculty

2.5.4 Non-renewal of Contract

- 3 Conditions of Faculty Employment
 - 3.1 Sabbatical Leave
 - 3.2 Grievance
 - 3.3 Termination of Service
- 4 Procedure for Amending University Libraries Faculty Personnel Document

The ULF delegates responsibility for implementing these policies and procedures to the ULF Personnel Committee, which makes recommendations on all of the above issues to the Dean, University Libraries, hereafter referred to as the Dean. The rules for the composition and election of members of this committee are set out in the *Bylaws of the University Libraries Faculty*. All personnel decisions are made by and are the responsibility of the Dean.

1 FACULTY APPOINTMENTS

1.1 ~~FULL-TIME TYPES OF FACULTY APPOINTMENTS~~

Full-time library faculty appointment shall be one of three kinds:

- a. Nontenurable
- b. Probationary
- c. Tenure

See *The Redbook* Sec 3.3.1 for the process of membership and appointment to the ULF.

~~B. The honorary title Professor Emeritus may be conferred upon retired faculty if requested by the ULF and the Dean, and approved by the President and Board of Trustees.~~

~~C. Part time faculty are appointed by contract to engage in specified activities within the fields of librarianship or archival administration less than full time for a designated period. No such appointment, continuation, or renewal thereof will result in acquisition of tenure nor does it imply renewal for subsequent periods. Part time faculty may qualify for certain benefits as authorized by the University. Part time faculty may be elected to the Faculty Senate and may be appointed or elected to University or unit committees as specified by their contract and/or University documents. Part time faculty may serve on ULF standing and ad hoc committees. Such service will be accounted for and recognized in the individual contract. Part time faculty shall hold rank according to education and experience. Part time faculty shall have an appeal process as provided for in the terms of appointment.~~

~~Deans may appoint or reappoint part-time faculty for each academic term at the convenience of the University on standard contract terms approved by the Executive Vice President and University Provost. Part-time faculty appointments shall not be eligible for tenure or count toward time for acquisition of tenure.~~

A 1.1.1 Nontenurable Full-Time Faculty Appointments

1 A. Temporary

Temporary appointments to the various academic ranks may be made for specifically limited time periods of less than one year or for special purposes. Temporary faculty may not serve on ULF standing or ad hoc committees.

2 B. Term

- a. All nontenurable full-time faculty members who do not hold temporary appointments will be called term faculty.
- b. Term faculty shall be full-time faculty appointments without tenure for a stipulated contract period not to exceed three years. Such appointments are not probationary appointments and no such appointments, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent terms. Term faculty members are not eligible for sabbaticals or other academic leaves.
- c. Term faculty may be funded through general funds, restricted funds, or clinical revenues. The number of term faculty appointments funded through general funds must be fewer than ~~20%~~ 50% of the total number of appointments in the ULF.
- d. Term faculty appointments may be renewed according to The Redbook, *Redbook Sec. 3.3.1*
- e. Faculty on term appointments may apply for and be appointed to probationary appointments. The Provost's letter of appointment shall state whether and to what extent the new appointment shall consider time served in nontenurable status as prior service.
- f. Term faculty members are eligible for promotion according to the same requirements as probationary and tenured faculty. ~~Term faculty and their program directors have the option to assign all effort to criterion A; however, they should be aware that this will be insufficient for promotion.~~

B 4.1.2. Probationary Appointments

1. Definition

Probationary appointments shall be appointments of full-time faculty members without tenure other than those described in Sec. 1.1.A., provided, however, that no probationary appointment to the University shall extend beyond the period when tenure would normally be granted.

2. Instructors

Probationary appointments to the rank of Instructor shall be for stipulated terms of one year each.

3. Assistant and Associate Professors

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

4. Professors

An initial appointment at the rank of Professor will normally come with tenure. However, if tenure is not awarded at the time of appointment, and a tenure review is not conducted during the probationary year, tenure shall be awarded if the appointment is renewed.

C 1.1.3 Tenure Appointments

1. Definition

Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous

full-time employment without reduction in academic rank until retirement or termination as

provided in Sec. 3.3.

2. Administrative Personnel

Administrative personnel who have acquired tenure are subject to the regulations herein on

tenure and the provisions governing termination only in their capacities as faculty members.

3. Tenure Recommendations

Recommendations concerning the award or denial of tenure shall originate in the University

Libraries, in accordance with the procedures established in Sec. ~~2.3.8~~ 2.3.4

4. Establishment of Tenure Date

For probationary appointments, the date of mandatory tenure and the number of years of previous full-time service to be counted toward acquisition of tenure shall be stipulated by the

Provost and agreed to in writing by the nominee before the appointment is made by the Board of

Trustees.

1.2 PART-TIME APPOINTMENTS

~~Part-time faculty are appointed by contract to engage in specified activities within the fields of librarianship or archival administration less than full time for a designated period. No such appointment, continuation, or renewal thereof will result in acquisition of tenure nor does it imply renewal for subsequent periods. Part-time faculty may qualify for certain benefits as authorized by the University. Part-time faculty may be elected to the Faculty Senate and may be appointed or elected to University or unit committees as specified by their contract and/or University documents. Part-time faculty may serve on ULF standing and ad hoc committees. Such service will be accounted for and recognized in the individual contract. Part-time faculty shall hold rank according to education and experience. Part-time faculty shall have an appeal process as provided for in the terms of appointment. Deans may appoint or reappoint part-time faculty for each academic term at the convenience of the University on standard contract terms approved by the Executive Vice President and University Provost. Part-time faculty appointments shall not be eligible for tenure or count toward time for acquisition of tenure.~~

A. Part-time faculty are appointed by contract to engage in specified activities within the fields of librarianship or archival administration less than full time for a designated period. No such appointment, continuation, or renewal thereof will result in acquisition of tenure nor does it imply renewal for subsequent periods.

B. Part-time faculty may qualify for certain benefits as authorized by the University.

C. Part-time faculty may be elected to the Faculty Senate and may be appointed or elected to University or unit committees as specified by their contract and/or University documents.

- D. Part-time faculty may serve on ULF standing and ad hoc committees. Such service will be accounted for and recognized in the individual contract.
- E. Part-time faculty shall hold rank according to education and experience as described in Sec. 1.4.
- F. Part-time faculty shall have an appeal process as provided for in the terms of appointment, as described in Sec. 2.2.4.
- G. Deans may appoint or reappoint part-time faculty for each academic term at the convenience of the University on standard contract terms approved by the Executive Vice President and University Provost. ~~Part-time faculty appointments shall not be eligible for tenure or count toward time for acquisition of tenure.~~
- H. Contract renewal is as described in Sec 2.5.2.B
- I. Promotion is described in Sec. 2..3.1.B

1.3 EMERITUS FACULTY

The honorary title Professor Emeritus may be conferred upon retired faculty if requested by the ULF and the Dean, and approved by the President and Board of Trustees.

1.4 FACULTY RANK FOR NEW APPOINTMENTS

- A. Librarians and archivists hold faculty rank. Initial rank for all ULF members will be determined according to education and experience. The Personnel Committee will make a recommendation to the Dean, based on credit for prior work, on rank, and credit toward tenure when applicable, for each new appointment.
- B. A librarian must have a master's degree from an American Library Association-accredited library school or the equivalent professional credentials, or a graduate degree in other professional or scholarly fields where appropriate. An archivist must have a master's degree in archives administration, history, library science, information management, business administration, or other relevant field.

C. Ranks ~~The ranks are:~~

1. Lecturer

The Dean may appoint or reappoint Lecturers at the convenience of the University Libraries. The Lecturer rank only applies to term and temporary appointments. Lecturers are neither required nor eligible to go through the procedures for annual review, promotion review, periodic career review, or contract renewal review as outlined in this document.

2. Instructor

Appointment to the rank of Instructor requires a master's degree as stated above and evidence of promise in professional performance.

3. Assistant Professor

Appointment to the rank of Assistant Professor generally requires at least two years of experience in an academic library/archives or equivalent experience and some evidence of professional development.

4. **Associate Professor**

Appointment to the rank of Associate Professor **generally** requires ~~a minimum of~~ six years of experience in an academic library/archives or equivalent experience and evidence of significant contribution to the profession.

5. **Professor**

Appointment to the rank of Professor **generally** requires ~~a minimum of~~ eleven years of experience in an academic library/archives or equivalent experience and a strong record of productivity in professional performance and service to the unit, University, profession and/or the community.

See also Appendix II, Characteristics of Ranks.

2 EVALUATIONS

2.1 PERFORMANCE CRITERIA

The Libraries are organized into programmatic areas headed by program directors.

The program director provides the first review in all faculty evaluations.

The following criteria are the basis of all faculty reviews in the University Libraries. Effective performance in criterion A is essential for all of the reviews documented in Sec. 2. Performance requirements for criteria B-C are determined according to the type of review and the faculty member's individual workplans during the review period.

A. Criterion A: Teaching

1. The term teaching, when applied to librarians and archivists, is meant to be interpreted to apply to the wide range of functions librarians and archivists assume and may not always mean the same sort of teaching responsibility other faculty in the University have.
2. All activities that contribute to the operations of the University Libraries fall under this criterion. Activities include but are not limited to administration, assessment and resource planning, technical services, information delivery, information literacy, liaison activities/public relations, resource selection, and technology administration. Professional development activities are included in this criterion.
3. This criterion will be assessed in writing by the program director and the Personnel Committee and will include an evaluation of performance in this criterion as specified in the annual workplan. Terms used in defining quality of performance will be exceptional, proficient, needs improvement, and unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank. See Appendix II for the characteristics of the ranks. This terminology applies to all personnel reviews. An exceptional rating will be awarded only rarely for work that truly goes above and beyond what most faculty have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation on the part of the program director.

B. Criterion B: Research and Creative Activity

1. Research and creative activity focuses on the advancement of knowledge in the fields of librarianship, archival administration, information science, information technology, or other areas of scholarship as related to the faculty member's position. Emphasis will be placed on work that becomes part of the written scholarly record.
2. Assessment of this criterion is conducted by the program director and the Personnel Committee. Terms used in defining quality of performance will be exceptional,

proficient, needs improvement, and unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank. See Appendix II for the characteristics of the ranks. This terminology applies to all personnel reviews. An exceptional rating will be awarded only rarely for research and creative activity that goes above and beyond what most faculty have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation on the part of the Personnel Committee.

C. Criterion C: Service to the Profession, University, and Community

1. This criterion is defined as sharing one's professional expertise within the profession, the University, and/or the community in general. Activities include service to the profession, University, or community based on professional skills. Examples include participating in professional and scholarly organizations, sponsoring student organizations, participating in University-wide committees and initiatives, and consulting in one's area of professional expertise.
2. Assessment of this criterion is conducted by the program director and the Personnel Committee. Terms used in defining quality of performance will be exceptional, proficient, needs improvement, and unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank. See Appendix II for the characteristics of the ranks. This terminology applies to all personnel reviews. An exceptional rating will be awarded only rarely for service that truly goes above and beyond what most faculty have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation on the part of the Personnel Committee.

2.2 ANNUAL REVIEW

2.2.1 Introduction

- A. All ULF members must be reviewed in writing annually.
- B. Each faculty member creates annually a written workplan in conjunction with his or her program director. The workplan will support the mission and goals of the University Libraries. (See Sec. 2.2.2.)
- C. The annual review measures achievement of the goals outlined in the annual workplan and is based on written evidence. Performance evaluations will be based on the individual's accomplishments and contributions in helping the University Libraries meet its goals and objectives in support of the University's strategic plan.
- D. Each faculty member will have the opportunity to present documentation of performance and effort relative to his or her annual workplan each year. ~~Annual reviews may take into account multi-year performance.~~ Evaluations must consider only those areas of activity for which the approved annual workplan indicates a faculty member's responsibility.
- E. All salary increase decisions will be at the discretion of the Dean.
 1. Criteria A-C will be evaluated in writing by the ULF member's program director in conjunction with the Personnel Committee and reported in writing.
 2. The evaluations of the program director and the Personnel Committee will be provided to the Dean and be the basis of salary increase decisions.
 3. The Dean may use a portion (not to exceed 5%) of the funds allocated to the unit for salary increases for a particular year to award special, one-time

payments to faculty members for exceptional effort or achievement beyond that rewarded in the regular salary increase process.

4. The standard period of performance to be covered in the review for salary increases will be the preceding calendar year. When there is an increase of 3% or more in the salary pools between two or more consecutive years, the faculty will make a recommendation to the Dean regarding distribution of salary increases taking into consideration the annual rankings achieved by the faculty member over the period.
- F. Each faculty member will be informed in writing by his or her program director and by the Personnel Committee of the results of the performance evaluations, any recommendations for improvements, and annual ranking. Each faculty member will be given an opportunity to respond to these recommendations and his or her performance evaluation so that timely adjustments may be made before the final recommendation of the Dean.
- G. The Dean will report annually to the ULF and to the Provost the distribution of the percentage salary increases received by all faculty members and a description of the evaluation system used to arrive at such salary increases.
- H. The Personnel Committee will preserve annual reviews electronically and in the Office of the Dean. Individual faculty members will be responsible for maintaining the documentary evidence supporting each annual review through the next promotion, contract renewal, or periodic career review.
- I. A positive annual review does not guarantee promotion, tenure, satisfactory periodic career review, or contract renewal.

2.2.2 Annual Workplan

- A. Working with the program director, each faculty member will present an annual workplan for the approval of the Dean. The workplan will support the mission and goals of the University Libraries and is the basis for all personnel reviews.
- B. The annual workplan will specify the responsibilities of the faculty member for teaching/librarianship/archival administration, research and creative activity, and service. Each faculty member, in agreement with his or her program director, will indicate what percentage of effort will be spent in criteria A-C. The percentages are used solely to indicate an understanding of workload distribution between faculty member and program director.
- C. Faculty permanently or temporarily appointed or reassigned to specialized roles for the purpose of meeting unit needs may develop workplans that specify activity in only one of those areas.
- D. When circumstances require changes in the annual workplan, the faculty member and program director must file an amended plan (including an explanation of the necessary changes) for the approval of the Dean. Faculty members may not submit revised annual workplans after November 15.

2.2.3 Annual Review Procedure

- A. The calendar for annual review is outlined in the *University Libraries Faculty Personnel Committee Manual*.

- B. The Dean will send a letter to each ULF member announcing the date by which documentation of the year's annual performance must be received.
- C. Each faculty member will prepare an annual performance summary describing and documenting all activities in criteria A-C as outlined in the annual workplan. Each faculty member is required to include in the annual review an accounting of all professional work done outside the University.
- D. Each faculty member will provide his or her annual workplan and annual performance summary in print and electronic form, as well as documentation to support activities in criteria A-C, to the program director and the Personnel Committee who will use it as the basis for evaluating criteria A-C.
- E. Program director and the Personnel Committee will separately draft comments about the faculty member's performance in A-C.
- F. The program director and the Personnel Committee will meet and
 1. Discuss each faculty member's performance in criteria A-C in regard to how he or she met the goals listed in his or her annual workplan.
 2. Assign an overall rating of exceptional, proficient, needs improvement, or unsatisfactory. An exceptional rating will be awarded only rarely for work that truly goes above and beyond what most faculty members have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation on the part of the program director. If there is disagreement about a rating between the program director and the Personnel Committee, an attempt to reach consensus will be made. If no consensus can be reached, the program director's rating stands for criterion A, and the Personnel Committee's ratings stand for criteria B and C, resulting in a split rating for the year.
- G. After the meeting, the program director will write a formal evaluation of A and the Personnel Committee will write a brief, formal evaluation of B-C. Program directors' evaluations will be forwarded to the Personnel Committee.
- H. The Personnel Committee will forward the finalized rating and the evaluation(s) of A-C to the faculty member and program director.
- I. The program director and the faculty member will meet for discussion of the evaluation of A-C and, if necessary, develop recommendations for improved performance. Both the program director and the faculty member will sign the faculty evaluation summary and forward it back to the Personnel Committee. Each faculty member will be given an opportunity to respond to these recommendations and his or her performance evaluation so that timely adjustments may be made.
- J. The Personnel Committee will rank faculty members according to the ratings and divide them into four discreet groups: high, medium, low, and unsatisfactory. A rating of unsatisfactory precludes consideration for salary increase.
- K. The Personnel Committee will forward the files and the rankings to the Dean for consideration in the salary increase decisions. If a faculty member achieves an exceptional performance for the year, the Personnel Committee may recommend to the

Dean that the faculty member be awarded a special, one-time payment as provided for in Sec. 2.2.1.E.3.

- L. The Dean will make salary recommendations and inform each faculty member in writing of his or her recommendation.
 - 1. Only faculty whose overall performance is judged to be at the level of needs improvement or above in criteria A-C will receive a salary increase. Faculty who are judged to be overall unsatisfactory will not be eligible for a salary increase.
 - 2. A recommendation for a zero salary increase must be submitted for approval of the Provost. This recommendation will include the reasons for the zero salary increase and specific suggestions for improving any performance considered to be unsatisfactory.
- M. Probationary or term faculty receiving an overall rating of needs improvement for more than one year will be given a terminal one-year contract. Probationary or term faculty receiving an overall unsatisfactory rating will be terminated. See Sec. 3.3, Termination of Service.

2.2.4 Annual Review Appeal Process

- A. The annual review appeal process is conducted outside of the University's formal grievance procedure.
- B. The Dean will inform each faculty member in writing of that member's performance evaluation ranking. Faculty members have the opportunity to appeal the ranking in writing to the Dean within five working days of receipt of the letter. The Dean will reconsider the performance evaluation for that faculty member and respond in writing to the faculty member's appeal within five working days. When the appeal is made by a faculty member who is evaluated by the Dean, the Dean will designate another faculty member to review and respond to the appeal within the specified time frame. The designee will be a tenured person at or above the rank of the faculty member making the appeal, will not be a member of the Personnel Committee, and must be agreed to by the appellant.

~~2.3 TENURE REVIEW~~

~~2.3.1 Time Required~~

- ~~A. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. In most cases, the tenure review will occur at the same time as the review for promotion to Associate Professor.~~
- ~~B. All probationary faculty who have had seven years of service counted in a tenurable faculty position, if reemployed full time, shall be granted tenure.~~

~~2.3.2 Leaves of Absence~~

~~One year spent on an officially approved leave of absence may be counted toward the seven years of full-time necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure.~~

~~2.3.3 Extension of a Probationary Period~~

~~A faculty member who faces extenuating circumstances that do not require a leave of absence but result in a significant reduction in ability to perform normal duties may request an extension of the probationary period for no less than six months and no more than one~~

~~year. Such extensions must be requested and approved before the end of the fifth year of the probationary period and must have documentation satisfactory to the Provost.~~

~~2.3.4 — Prior Service~~

~~Previous full-time service with the rank of Instructor or higher or comparable status in institutions of higher learning or another library may be counted toward acquisition of tenure, in accordance with Sec. 2.4.3.~~

~~2.3.54 — Pre-Tenure Review~~

~~Faculty members will undergo a comprehensive pre-tenure review, typically after the third year of service in the University Libraries. If a faculty member receives three or more years of credit toward tenure when he or she is hired, the hiring process may be considered a pre-tenure review. The purpose of the pre-tenure review is to inform the faculty member about progress toward meeting the University Libraries' standards for tenure. The review will be conducted with the same level of rigor and by the same process as a tenure review; however, external reviews are not required. Faculty members undergoing a pre-tenure review will receive the results in writing. This review is advisory only and does not constitute sufficient justification for award or denial of tenure.~~

~~2.3.65 — Early Tenure~~

~~Notwithstanding anything in *The Redbook* to the contrary, Tenure may be granted at the time of initial appointment or in less than seven years when such action is warranted. A faculty member may request only one evaluation for early tenure. Evaluation for early tenure shall proceed as indicated in *The Redbook* Sec 4.2.2.II unless the faculty member under review requests its withdrawal.~~

~~2.3.7 6 — Criteria for Tenure~~

- ~~A. Completion of the probationary period with proficient annual or pre-tenure reviews is not sufficient grounds for tenure. Candidates must demonstrate the level of performance required for promotion to Associate Professor and the promise of continuing contributions at a significant level to the mission and operations of the University Libraries, as described in Appendix II. It should be noted that tenure is a more critical action than promotion because it is evidence of the University's firm and enduring commitment to the individual.~~
- ~~B. Faculty members in a probationary status will be affected by any amendments to or change in the criteria for tenure subsequent to their appointment. In such cases, appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.~~

~~2.3.87 — Procedures for Promotion and Tenure~~

- ~~A. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated unless the faculty member resigns or is subject to termination.~~
- ~~B. For the purposes of promotion and/or tenure reviews, the University Libraries are a unit without departments or divisions.~~
- ~~C. The Personnel Committee will notify faculty members as they become eligible for promotion and/or tenure review according to the time requirements specified in Sec. 2.3.1 2.3.4.~~

- ~~D. The candidate will submit relevant material for review, as described in Appendix II. Tenure reviews and promotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require external review. Procedures for external review are outlined in Appendix II.~~
- ~~E. The candidate will be shown any material included in the tenure and/or promotion dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.~~
- ~~F. After providing access to the candidate's dossier for a period of no less than three weeks, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, and these faculty members will cast votes by written secret ballot for/against promotion and/or tenure for each candidate under review. Any faculty member present may call for discussion of a candidate's dossier.~~
- ~~G. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for promotion and/or tenure and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.~~
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- ~~H. The Personnel Committee will communicate its recommendation regarding promotion and/or tenure in writing to the Dean. A copy of the Personnel Committee recommendation will be sent to the candidate and it will be included in all higher levels of review. The candidate will be notified when the Personnel Committee recommendation has been placed in his or her file. This recommendation will be included in all higher levels of review.~~
- ~~I. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost.~~
- ~~J. Based on the file compiled through this process, the Dean will make the unit recommendation. The Dean will forward the triptych to the Provost and will notify the Personnel Committee, the program director, and the candidate of the unit recommendation.~~
- ~~K. If the Provost disagrees with the unit recommendation, the Provost will send a statement of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.~~
- ~~L. If the recommendation of the Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.~~
- ~~M. The Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.~~

~~N. In any case where the initial recommendation to deny promotion and/or tenure is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's notice. The report of the University Faculty Grievance Committee will make a recommendation for promotion and/or tenure or denial of promotion and/or tenure to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.~~

~~O. In all cases, the Board of Trustees makes the final decision on promotion and/or tenure.~~

2.4 PROMOTION REVIEW

~~All members of the ULF (except Lecturers) are eligible for promotion through the faculty ranks. Promotion is granted on the basis of significant contributions to the University Libraries, the University, the profession, and the community, state, or nation. Successful fulfillment of one's designated responsibilities as outlined in the annual workplan is mandatory. Candidates will also be evaluated on the basis of a continuing record of achievement; contributions to the written scholarly record; evidence of professional development; and contributions to the mission and goals of the University Libraries. Neither seniority nor time in rank is to be the sole basis for promotion. It is the responsibility of the faculty member to ensure his or her ability to satisfy the criteria for promotion as described below.~~

2.4.1 Criteria for Promotion in Rank for Full Time Faculty

~~A. Lecturers are not eligible for promotion.~~

B. Promotion from Instructor to Assistant Professor

~~Promotion from Instructor to Assistant Professor requires at least two years experience at the rank of Instructor, one of which must be at the University of Louisville. Promotion from Instructor to Assistant Professor is based primarily on evidence of good performance in the faculty member's position. See Appendix II, Sec. I, for characteristics of the Assistant Professor rank.~~

C. Promotion from Assistant Professor to Associate Professor

~~Promotion from Assistant Professor to Associate Professor requires at least four years experience at the rank of Assistant Professor, three of which must be at the University of Louisville. Promotion at this level is based on evidence of good performance in the faculty member's position; productivity in professional performance; contributions to the written scholarly record; and service to the University Libraries, the University, the profession, and/or the community. See Appendix II, Sec. I, for characteristics of the Associate Professor rank. In the case of those achieving tenure with this promotion, the criteria for tenure must be met, as described in Sec. 2.3 and Appendix II.~~

D. Promotion from Associate Professor to Professor

~~Promotion from Associate Professor to Professor normally requires a minimum of five years experience at the rank of Associate Professor, three of which must be at the University of Louisville. Promotion at this level is based on a strong record of productivity in professional performance; contributions to the written~~

~~scholarly record; and service to the University Libraries, the University, the profession, and/or the community. See Appendix II, Sec. I, for characteristics of the Professor rank.~~

~~2.4.2 Criteria for Promotion in Rank for Part-Time Faculty~~

- ~~A. It is recognized that the responsibilities of part time faculty may differ significantly from those with full time appointments. In a promotion consideration, there should be tangible evidence that a candidate's contributions are significant to the mission of the University Libraries. It is expected that the majority, if not all, the faculty member's work will focus on criterion A. Part time faculty shall be held to the criteria specified for full time faculty with consideration for their percentage effort and work assignment.~~
- ~~B. Neither seniority nor time in rank is to be the sole basis for promotion. Promotion for part-time faculty members requires proficiency in annual reviews and evidence of limited activity in criteria B and C, as appropriate to a part time workload.~~

~~2.4.3 Prior Service~~

~~Previous full time service with the rank of Instructor or higher or comparable status in institutions of higher learning or another library will be counted toward promotion according to criteria outlined in Sec. 2.4.1.~~

~~2.4.4 Procedures for Promotion~~

~~Faculty members will be reviewed for promotion according to the procedures outlined in Appendix II Sec. 2.3.8.~~

2.5 2.3 PROMOTION AND TENURE REVIEW

2.3.1 Promotion Review

All members of the ULF (except Lecturers) are eligible for promotion through the faculty ranks. Promotion is granted on the basis of significant contributions to the University Libraries, the University, the profession, and the community, state, or nation. Successful fulfillment of one's designated responsibilities as outlined in the annual workplan is mandatory. Candidates will also be evaluated on the basis of a continuing record of achievement; contributions to the written scholarly record; evidence of professional development; and contributions to the mission and goals of the University Libraries. Neither seniority nor time in rank is to be the sole basis for promotion. It is the responsibility of the faculty member to ensure his or her ability to satisfy the criteria for promotion as described below.

A. Criteria for Promotion in Rank for Full-Time Faculty

1. Lecturers are not eligible for promotion.
2. Promotion from Instructor to Assistant Professor
Promotion from Instructor to Assistant Professor requires at least two years experience at the rank of Instructor, one of which must be at the University of Louisville. Promotion from Instructor to Assistant Professor is based primarily on evidence of good performance in the faculty member's position. See Appendix II, Sec. I, for characteristics of the Assistant Professor rank.
3. Promotion from Assistant Professor to Associate Professor
Promotion from Assistant Professor to Associate Professor requires at least four years experience at the rank of Assistant Professor, three of which must be at the University of Louisville. Promotion at this level is based on

evidence of good performance in the faculty member's position; productivity in professional performance; contributions to the written scholarly record; and service to the University Libraries, the University, the profession, and/or the community. See Appendix II, Sec. I, for characteristics of the Associate Professor rank. In the case of those achieving tenure with this promotion, the criteria for tenure must be met, as described in Sec. ~~2.3~~ 2.3.3 and Appendix II.

4. Promotion from Associate Professor to Professor

Promotion from Associate Professor to Professor normally requires a minimum of five years experience at the rank of Associate Professor, three of which must be at the University of Louisville. Promotion at this level is based on a strong record of productivity in professional performance; contributions to the written scholarly record; and service to the University Libraries, the University, the profession, and/or the community. See Appendix II, Sec. I, for characteristics of the Professor rank.

B. Criteria for Promotion in Rank for Part-Time Faculty

1. It is recognized that the responsibilities of part-time faculty may differ significantly from those with full-time appointments. In a promotion consideration, there should be tangible evidence that a candidate's contributions are significant to the mission of the University Libraries. It is expected that the majority, if not all, the faculty member's work will focus on criterion A. **Part-time faculty shall be held to the criteria specified for full-time faculty with consideration for their percentage effort and work assignment.**

~~2. Neither seniority nor time in rank is to be the sole basis for promotion. Promotion for part-time faculty members requires proficiency in annual reviews and evidence of limited activity in criteria B and C, as appropriate to a part-time workload.~~

2.4.5 — Prior Service

~~Previous full-time service with the rank of Instructor or higher or comparable status in institutions of higher learning or another library will be counted toward promotion according to criteria outlined in Sec. 2.4.1.~~

2.4.6 — Procedures for Promotion

~~Faculty members will be reviewed for promotion according to the procedures outlined in Appendix II~~

2.3.2. Procedures for ~~tenure~~ promotion

- A. For the purposes of **promotion** ~~tenure~~ reviews, the University Libraries are a unit without departments or divisions.
- ~~B. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated unless the faculty member resigns or is subject to termination.~~
- ~~C. The Personnel Committee will notify faculty members as they become eligible for **promotion** ~~tenure~~ review. according to the time requirements specified in Sec. 2.3.1 2.3.4.~~

- D. The candidate will submit relevant material for review, as described in Appendix II. ~~Tenure reviews and P~~romotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require external review. Procedures for external review are outlined in Appendix II.
- E. The candidate will be shown any material included in the ~~promotion tenure~~ dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
- F. After providing access to the candidate's dossier for a period of no less than three weeks, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, and these faculty members will cast votes by written secret ballot for or against ~~promotion and/or tenure~~ for each candidate under review. Any faculty member present may call for discussion of a candidate's dossier.
- G. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for ~~promotion tenure~~ and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
- H. The Personnel Committee will communicate its recommendation regarding ~~promotion tenure~~ in writing to the Dean. ~~A copy of the Personnel Committee recommendation will be sent to the candidate and it will be included in all higher levels of review. The candidate will be notified when the Personnel Committee recommendation has been placed in his or her file. This recommendation will be included in all higher levels of review.~~
- I. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost.
- J. Based on the file compiled through this process, the Dean will make the unit recommendation. The Dean will forward the triptych to the Provost and will notify the Personnel Committee, the program director, and the candidate of the unit recommendation.
- K. If the Provost disagrees with the unit recommendation, the Provost will send a statement of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.
- L. If the recommendation of the Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.
- M. The Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.
- N. In any case where the initial recommendation to deny ~~promotion tenure~~ is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's

notice. The report of the University Faculty Grievance Committee will make a recommendation for ~~promotion tenure~~ or denial of ~~promotion tenure~~ to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.

- O. In all cases, the Board of Trustees makes the final decision on ~~promotion tenure~~.

2.3.3 Tenure review

A. Time Required

1. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. In most cases, the tenure review will occur at the same time as the review for promotion to Associate Professor.
2. All probationary faculty who have had seven years of service counted in a tenurable faculty position, if reemployed full time, shall be granted tenure.

B. Leaves of Absence

1. One year spent on an officially approved leave of absence may be counted toward the seven years of full-time necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure.

C. Extension of a Probationary Period

1. A faculty member who faces extenuating circumstances that do not require a leave of absence but result in a significant reduction in ability to perform normal duties may request an extension of the probationary period for no less than six months and no more than one year. Such extensions must be requested and approved before the end of the fifth year of the probationary period and must have documentation satisfactory to the Provost.

~~D. Prior Service~~

- ~~1. Previous full-time service with the rank of Instructor or higher or comparable status in institutions of higher learning or another library may be counted toward acquisition of tenure, in accordance with Sec. 2.4.3.~~

E. Pre-Tenure Review

1. Faculty members will undergo a comprehensive pre-tenure review, typically after the third year of service in the University Libraries. If a faculty member receives three or more years of credit toward tenure when he or she is hired, the hiring process may be considered a pre-tenure review. The purpose of the pre-tenure review is to inform the faculty member about progress toward meeting the University Libraries' standards for tenure. The review will be conducted with the same level of rigor and by the same process as a tenure review; however, external reviews are not required. Faculty members undergoing a pre-tenure review will receive the results in writing. This review is advisory only and does not constitute sufficient justification for award or denial of tenure.

F. Early Tenure

1. ~~Notwithstanding anything in *The Redbook* to the contrary,~~ Tenure may be granted at the time of initial appointment or in less than seven years when such action is warranted. A faculty member may request only one evaluation for early tenure. Evaluation for early tenure shall proceed as indicated in *The Redbook* Sec 4.2.2.H unless the faculty member under review requests its withdrawal.

F. Criteria for Tenure

1. Completion of the probationary period with proficient annual or pre-tenure reviews is not sufficient grounds for tenure. Candidates must demonstrate the level of performance required for promotion to Associate Professor and the promise of continuing contributions at a significant level to the mission and operations of the University Libraries, as described in Appendix II. It should be noted that tenure is a more critical action than promotion because it is evidence of the University's firm and enduring commitment to the individual.
2. Faculty members in a probationary status will be affected by any amendments to or change in the criteria for tenure subsequent to their appointment. In such cases, appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.

2.3.4 Procedures for Tenure

- A. For the purposes of tenure reviews, the University Libraries are a unit without departments or divisions.
- B. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated unless the faculty member resigns or is subject to termination.
- C. The Personnel Committee will notify faculty members as they become eligible for tenure review.
- D. The candidate will submit relevant material for review, as described in Appendix II. Tenure reviews ~~and promotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor,~~ will require external review. **In the case of tenure with promotion only one dossier will be submitted.** Procedures for external review are outlined in Appendix II.
- E. The candidate will be shown any material included in the tenure dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
- F. After providing access to the candidate's dossier for a period of no less than three weeks, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, and these faculty members will cast votes by written secret ballot for or against promotion ~~and/or tenure~~ for each candidate under review. Any faculty member present may call for discussion of a candidate's dossier.
- G. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for tenure and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
- H. The Personnel Committee will communicate its recommendation regarding tenure in writing to the Dean. ~~A copy of the Personnel Committee recommendation will be sent to the candidate and it will be included in all higher levels of review.~~ **The candidate will be notified when the Personnel Committee recommendation has been placed in his or her file. This recommendation will be included in all higher levels of review.**

- I. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost.
- J. Based on the file compiled through this process, the Dean will make the unit recommendation. The Dean will forward the triptych to the Provost and will notify the Personnel Committee, the program director, and the candidate of the unit recommendation.
- K. If the Provost disagrees with the unit recommendation, the Provost will send a statement of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.
- L. If the recommendation of the Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.
- M. The Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.
- N. In any case where the initial recommendation to deny tenure is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's notice. The report of the University Faculty Grievance Committee will make a recommendation for tenure or denial of tenure to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.
- O. In all cases, the Board of Trustees makes the final decision on tenure.

2.5 2.4 PERIODIC CAREER REVIEW

The purpose of Periodic Career Review (PCR) is to promote the continued professional development of the faculty.

- A. Faculty members with tenure shall undergo a career review after every fifth year of service with the following exceptions:
 - 1. A successful promotion review will serve as a career review, and the next review will not take place until five years after the promotion review.
 - 2. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year.
 - 3. Faculty members planning to request promotion to Professor in the next academic year may defer review for one year.
- B. All *Redbook* rights of due process and appeal for faculty will apply in these reviews.
- C. Procedures for Periodic Career Review
 - 1. All periodic career reviews for faculty members with tenure shall take place in the spring semester of the academic year.

2. The calendar for PCR is outlined in the *University Libraries Faculty Personnel Committee Manual*. The Personnel Committee will notify those faculty members scheduled for review, their program directors, and the Dean.
3. The Personnel Committee will conduct the review and base its evaluation on annual reviews and associated documentation for each of the five years being reviewed. The faculty member may add any appropriate material.
4. The evaluation report will characterize the faculty member's overall contribution as exceptional, satisfactory: meeting University Libraries criteria, or unsatisfactory: not meeting University Libraries criteria.
 - a. If the faculty member has received a proficient rating in all annual reviews for the specified review period, the faculty member has met the University Libraries criteria. The Personnel Committee will review the file and characterize the member's contribution as satisfactory: meeting University Libraries criteria or exceptional.
 - b. If the faculty member has not received a proficient rating in all annual reviews for the specified review period, the Personnel Committee will review the material to determine whether the faculty member's performance has met the University Libraries criteria overall meriting a satisfactory rating, or is unsatisfactory.
 - c. If the conclusion of the report is that the faculty member's overall contribution has been exceptional over the review period, the faculty member normally should be awarded a supplemental salary increase. The Dean shall determine the amount of any such salary increase.
5. The Personnel Committee will forward its recommendations regarding PCR to the Dean. The Dean will issue the final evaluation report to the faculty member and will notify the Provost in writing indicating satisfactory or unsatisfactory results.
 - a. If the conclusion of the report is that the faculty member's overall contribution has been satisfactory or exceptional over the review period, the faculty member begins the five-year review cycle in the following year.
 - b. If the conclusion of the report is that the faculty member's overall contribution has been unsatisfactory, the report will state the deficiency(ies) that was (were) the basis for this conclusion. Within thirty calendar days of receipt of the report, the faculty member, in consultation with the appropriate program director and the Dean, will prepare a career development plan to remedy the deficiency(ies) in one year unless the Dean approves a longer period.
 1. If the faculty member completes the agreed-upon career development plan, the faculty member shall then have one year to demonstrate satisfactory performance. The faculty member will then undergo another periodic review in the following academic year.
 2. If the faculty member fails to complete the agreed-upon career development plan, the faculty member may ask for an extension of one year, to be granted at the discretion of the

Dean. After the extension, the Personnel Committee, the Dean, and the program director will assess the faculty member's progress in the completion of the professional development plan.

- i. If satisfactory, a special career review will be conducted one year later by the Personnel Committee in conjunction with the Dean and the program director.
- ii. If unsatisfactory, the faculty member will be subject to appropriate disciplinary action, which may include proceedings for termination as described in *The Redbook*.

2.6 2.5 CONTRACT RENEWAL FOR TERM FACULTY

2.5.1 Probationary faculty

- A. The calendar for contract renewal is outlined in the University Libraries Faculty Personnel Committee Manual.
- B. Faculty members who have been promoted within the year of contract review will automatically be recommended for contract renewal and will not be required to undergo the contract renewal review process.
- C. The Personnel Committee will review the faculty member's annual reviews, including the program director's evaluations for the period covered by the concluding contract and recommendation on renewal. The faculty member may add any appropriate material.
- D. The Personnel Committee will submit a summary report to the Dean. The report will indicate whether the faculty member has in the span of the contract fulfilled his or her obligations according to his or her annual workplan. The report will also include the program director's written recommendation on contract renewal.

2.5.2 Term Faculty

- A. Term faculty members will undergo a contract renewal review. ~~The Personnel Committee will conduct contract renewal reviews.~~ Contract renewal for term faculty is dependent upon successfully fulfilling the contractual obligations as outlined in the annual workplan(s). All contract renewals are at the discretion of the ~~Dean~~ Board of Trustees. See Sec. 1.1.A.2.d.

2.5.3 Part-Time Faculty

- B. Part-time faculty members will undergo a contract renewal review. Contract renewal for term faculty is dependent upon successfully fulfilling the contractual obligations as outlined in the annual workplan(s). All contract renewals are at the discretion of the ~~Dean~~ Board of Trustees. See Sec. 1.1.A.2.d.

~~2.6.1 Contract Renewal Review Procedure~~

~~The calendar for contract renewal is outlined in the *University Libraries Faculty Personnel Committee Manual*. The Personnel Committee will conduct contract renewal reviews for term faculty. The Personnel Committee chair will submit a summary report to the Dean indicating the Committee's recommendation on contract renewal and the length of subsequent contract, not to exceed three years.~~

- ~~A. The Personnel Committee will review the faculty member's annual reviews, including the program director's evaluations for the period covered by the concluding contract and recommendation on renewal. The faculty member may add any appropriate material.~~
- ~~B. The Personnel Committee will submit a summary report to the Dean. The report will indicate whether the faculty member has in the span of the contract fulfilled his or her obligations according his or her annual workplan. The report will also include the program director's written recommendation on contract renewal.~~

2.6.2 2.5.4 Non-Renewal of Contract

When a decision not to renew a contract has first been reached, the Dean will inform the faculty member involved of that decision in writing. If the faculty member so requests, the Dean will advise the faculty member orally of circumstances that contributed to that decision. If the faculty member so requests, a written explanation of factors contributing to non-renewal will be given. Non-renewal of contracts is neither subject to appeal nor eligible for the grievance process.

3 CONDITIONS OF FACULTY EMPLOYMENT

3.1 SABBATICAL LEAVE

The sabbatical leave is recognized as a serious professional responsibility and shall be used for activities that will improve the faculty member's contribution to the Libraries' mission. A tenured ULF member at the rank of Associate Professor or higher with six years of full-time service at the University of Louisville may petition for a sabbatical leave of absence for six months leave with full pay or twelve months leave with one-half pay in accordance with the procedures outlined in *The Redbook*. Sabbatical leave will be granted only upon the approval of the Dean, the Provost, and the President. No leave will be granted without the guarantee of at least one year of continued full-time service after return from the sabbatical leave.

3.2 GRIEVANCE

Except for those with temporary or emeritus appointments, all ULF members may participate in the procedures described in *The Redbook*; however, only tenured ULF members may seek election to the University Faculty Grievance Committee.

3.3 TERMINATION OF SERVICE

3.3.1 Termination of Service of Tenured or Probationary Faculty

A. Termination of Appointment by a Faculty Member

A faculty member may terminate an appointment effective at the end of a contract year, provided that notice is given to the Dean in writing at the earliest possible opportunity, preferably within thirty days of receiving notification of the terms of the appointment for the coming year. The faculty member may properly request from the Dean a waiver of the requirement of notice in the case of hardship.

B. Probationary Academic Appointments

When a decision not to renew an appointment has first been reached, the faculty member involved will be informed of that decision in writing by the Dean and, if he or she so requests, will be advised orally of circumstances that contributed to that decision. If the faculty member so requests, the professional, academic, budgetary,

management, planning, or other factors given in explanation of the nonrenewal will be confirmed in writing. The faculty member may request a review under provisions of the grievance procedure as stipulated in *The Redbook*. Written notice that a probationary appointment is not to be renewed shall be given to a faculty member in advance of the expiration of the appointment, according to the following minimum periods of notice.

1. **First Year of Probationary Service**

In the first year of probationary service at the University of Louisville, not less than ninety days before the expiration of the contract.

2. **Second Year of Service**

Not later than six months before the end of the second contract year at the University of Louisville.

3. **Service of More Than Two Years**

After two or more years of service at the University of Louisville, notice of termination shall be given at least twelve months before the expiration of the appointment.

C. **Termination of Academic Employment Before the End of a Specified Term or for Persons with Tenure**

1. Causes

a. Termination of an appointment with tenure, or of a special or probationary appointment before the end of the specified term, may be effected by the institution for any of the following causes only if the cause substantially impairs effectiveness as a faculty member:

- i. Incompetence
- ii. Neglect of or refusal to perform one's duty
- iii. Immoral conduct

b. Termination of an appointment with tenure, or of a special or probationary appointment before the end of the specified term, may be effected by the institution for financial exigency or bona fide discontinuance or reduction of a unit, a department, a program, or a service. In such case the affected faculty member shall have the right to have the issues reviewed by the University Faculty Grievance Committee, with ultimate review of all controverted issues by the Board of Trustees after recommendation by the Office of the President. This review will include consideration of the range of course offerings of the institution, the importance of the program to the academic objectives of the unit, faculty status, affirmative action, and the prospects for future funding from all possible sources.

In every case of financial exigency or discontinuance or reduction of a unit, a department, or program of instruction, the faculty member concerned will be given appropriate notice as specified in *The Redbook* after recommendation by the President. Before terminating an appointment because of the discontinuance of a department, institute, program, or service, every effort will be made to place affected faculty members in other suitable positions. If an appointment is terminated before the end of a period of appointment

because of financial exigency, or because of the discontinuance or reduction of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reappointment and a reasonable period of time within which to accept or decline it.

- c. Termination of the services of a tenured faculty member for medical reasons, or of a non-tenured faculty member before the end of the period of appointment for such reasons, will be based upon clear and convincing evidence and, if the faculty member so requests, shall be reviewed by the University Faculty Grievance Committee before the President makes a recommendation to the Board of Trustees for final decision.
- d. Such recommendations of the University Faculty Grievance Committee shall be presented with the recommendation of the President to the Board of Trustees.

2. Procedures

The procedures for termination of academic employment before the end of a specified term or for persons with tenure are specified in *The Redbook* appendix, Termination Procedures.

D. Action by the Board of Trustees

If dismissal or other penalty is to be recommended by the President, the President will, on request of the faculty member submitted ten calendar days prior to the next regularly scheduled meeting of the Board of Trustees, transmit the record of the case to the Board of Trustees. The Board's review will be based on the record of the hearings and findings of the University Faculty Grievance Committee and it will provide opportunity for argument, oral or written or both, by the faculty member and the University or by their representatives. The Board of Trustees will then exercise its final authority and take appropriate action.

E. Suspensions

Until the final decision upon termination of an appointment has been reached, the faculty member may be suspended or assigned to other duties by the Dean of the unit with the approval of the President. Suspension is appropriate only pending a hearing, and if harm to the faculty member or to others is threatened by continuance in the appointment. Salary will continue during the period of suspension.

3.3.2 Termination of Service of Term Faculty

For termination of any ULF term member, see Sec. ~~2.6.2~~ 2.5.4 of this document, Non-Renewal of Contract.

4 PROCEDURE FOR AMENDING UNIVERSITY LIBRARIES FACULTY PERSONNEL DOCUMENT

- A. Any voting member of the ULF may propose changes to the *University Libraries Faculty Personnel Document* or any of its appendices. Proposed amendments must be submitted in writing to the Personnel Committee. The Personnel Committee must distribute the

proposed amendment to each member of the ULF at least five working days in advance of a faculty meeting.

- B. A written ballot must be distributed at the meeting. In order for the amendment to be approved, at least half of the membership must be present and the amendment must be approved by at least two-thirds of the members present. If a majority of members is not present or if the majority of the faculty members present so wish, a mail ballot may be used.
- C. Amendments to the *University Libraries Faculty Personnel Document* must also be approved by the Faculty Senate, the Provost, and the Board of Trustees. Amendments to any of the appendices can be made solely with the approval of the ULF.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE SCHOOL OF MUSIC POLICY MANUAL

Personnel Committee – November 11, 2010
Board of Trustees – November 11, 2010

RECOMMENDATION:

The President recommends:

That the Board of Trustees approves the revised School of Music Policy Manual in the form attached, to be effective immediately.

Committee Action:

Passed: X

Did Not Pass:

Other:

Board Action:

Passed: X

Did Not Pass:

Other:

Katalin M. Smith
Assistant Secretary

Katalin M. Smith
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 unsatisfactory, satisfactory/ proficient, outstanding, or exceptional.**
- 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.

(3) Selection Process. The faculty member under review may submit up to ten names of external evaluators considered qualified to evaluate submitted materials. The Division Head and Division faculty may also submit additional names. The candidate must disclose in writing the nature of any prior association with these potential evaluators. The Division Head in consultation with Division faculty shall select two individuals from the list submitted. The candidate retains the right to challenge any evaluator for cause. Evaluators who are perceived to be potentially non-objective shall not be selected. External evaluations shall be requested by the Dean's Office.

(b) Upon receipt of each external evaluation, the Division Head shall provide a copy of the evaluation to the candidate. All reviewer-identifying items shall be deleted. The candidate shall have an opportunity to respond in writing to the external evaluation within five working days of receipt before it is submitted to any reviewing body. All of this material shall be included in the file.

(1) Lengthy documents, recordings, or other material difficult to duplicate shall be made available to members of the Division Faculty and Personnel Committee by the Dean's Office.

(2) The candidate may examine any substantive material in the file but shall not be informed of the identity of evaluators. The candidate may add newly available material evidence for reconsideration by the previous evaluators or rebut any material before the file is forwarded to the Provost.

(3) Materials submitted to the file may not be removed.

iii. Candidates may solicit letters of support from colleagues outside the School of Music. To be appropriately considered, letters should be received two weeks prior to the Division vote. The Dean's Office will solicit letters from unit faculty via electronic mail one month in advance of the Division vote.

c. Additional Levels of Review for Those Seeking Tenure

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 above. 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 to the candidate's Division, are encouraged to do so. At this time the Division faculty may request the appearance of the candidate. The Division Head and Division faculty members will vote by secret ballot on whether or not to recommend that the candidate be granted tenure and/or promotion. 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.

(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, establishing candidacy, procedures for 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.

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of building and using the Music
faculty for
encourage the use
enrichment and
Music Library.
- 3) To serve as liaison with the Divisions and the faculty at large for 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.

Approved by the Faculty in April 2007

Revised in May 2008

Revised in October 2008

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

Board of Trustees – November 11, 2010

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 December 11, 2010, 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.

ACTION:

Passed: X

Did not pass:

Other:

Date:

Kathleen M. Smith

Assistant Secretary

College of Arts and Sciences

Doctor of Philosophy

Asem, Samuel S. K.
Bonner, Jason E
Brian, Eric Scott
He, Jing
Ivanova, Olga Sergevena
Jiang, Chun
Johnson, Nathan Gary
Kiernan, Julia Eileen
Ma, Qin
Ma, Yingxin
Northerner, Sara Jo
Penwell, Derek Lee
Putty, Kalyani
Smith, Abi Juanice
Steffen, Brian W
Sun, Xiujie
Tang, Guoxin
Thiessen, Heather Anne
Tudor, Amy Liann
Weigel, Rebecca A

Master of Arts

Adams, Eston Dillon
Arnold, Sonita Lynette
Ballard, Ricke Elaine
Barnes, Jody Lee
Bates, Sheila Christne
Delacruz, Elise Rochelle
Devuono, Emily Ann
Dixon, Shaun Andrew
Donahoe, Keith Allen
Ernst, Timothy Allen
Ferguson, Patrice Renee
Folczyk, Andrew Edward
Goessling, Jacob Andrew
Hartley, Sara Jane
Hoerter, Christopher James
Horton, Lauren M
Johnson JR, Michael Daryl
Magnuson, Justin Andrew
Metts, Tara Nichole
Miles, Christopher Brian
Miller, Anna Claire
Nason, Joseph Andrew
Oladipo, Jennifer O

Picklesimer, Sara Beth
Pierce, Ciara Nicole
Polo, Mariano Luis
Smith, Gregory Jason
Terry, Bradley William
Thompson, Lovetta Anita
Wells, Alexander William
Williams, Sarah Ramsey
Wright, Hollye N

Master of Science

Anthony, Tiffany Michele
Axson II, Mozell Howard
Dathorne, Nichole Marie
Donlon, Jacob Stephen
Hauswald, Cassandra L
Maduvu, Ackim Duvai
Magness, Kristen Ann
McCurley, Brent Aaron
Stone, Craig Anthony
Taylor III, Robert Lee
Whittinghill, Charity Burke
Wise, Angela Renae

Master of Public Administration

Carlton, Kris M
Dong, Wenchao
Kyle, Andrea J
Quintin, David Keith
Shackelford, Charles Waltrip

Master of Urban Planning

Carlton, Kris M
Hudson, Erin Rachelle
Poe, Joshua I

Bachelor of Arts

Aaron III, Arto Rogers
Abram, Penelope Claire
Ackerman, Alexandria Rose
Adler, Nathalie Simone
Alcorn, Steven Michael
Asad, Cher Amer
Austin, Ashlee' Rone'se
Ballard, Josh Thomas

Barbati,Gina Marie
Beck,Ashley Lauren
Bennett,Nubia MaBelle
Beran,Katharina Marie
Berry,Greggory Austin
Blankenship,Erica Faye
Blevins,Carrol Ann
Boniakowski,Paul J
Brenes,Cristofer Francisco
Brill,Sharon Marie
Brown,Christopher Scott
Brown,Natalie Cara
Bryant,Ellen K
Buck,Candice Lynne
Bunch,Charles Kendrick
Bunton,Marcus Jarel
Burton,Megan Elizabeth
Byrd,Brittany Michelle
Calvin,Evan G
Campbell,Courtney Scot
Campbell,Sarah Elizabeth
Cassady,Emily Ann
Castillo,Brandon Cole
Ceasar,Kimberly E
Cecil,Aaron Bryant
Chaney Jr,David Allen
Chavez,Gerardo
Chitwood,Darren Andrew
Christian,Matthew Rivers
Coleman,Dorian Nicole
Cook,Ilene Elizabeth
Corde,Brittany Diane
Coyle,Natalee Janae
Crabtree,Taryn Shanae
Cravens,Melody J
Culp,Megan C
Davidson,Jordan
Davidson,Leigh Frances
Dickerson,Brittney Nicole
Dodge,Angela Kay
Donohue,Samantha R
Duffy,Lindsey Alexandra
Durall,Robert Jared
Edwards,Steven Dewayne
Erwin,Matthew Edward
Estes,Andrew J
Evans,Kristina Marie
Fairman,Wesley E
Faulkner,Kala
Fawbush Jr,Martin Wayne

Fields,Amber Danielle
Finder,Richard G
Fischer,Andrew
Fisseha,Yirgalem Negash
Floro,Mariano H
Ford,Justin Bradley
Franz,Marissa M
Freiberger,Tyler J
Froman,Adam Christopher
Fultz,Morgan Nicole
Gann,David W
Garrett,Lauren Marie
Gerstle,Benjamin O
Gilland,Kristen
Gonzalez,Karina R
Gottbrath,Jordan Schuler
Grayson,Shari Anne
Greider,Lauren A
Gribbins,Dana Nicole
Guess,Brittany Kehaulani
Hagans,Joshua D
Hardesty,Brittany Marie
Hardin-Riley,Megan Rae
Hargesheimer,Lauren A
Harris,Ashley Elizabeth
Harris,Matthew T
Harris,Zachary S
Harrison,Robert Arthur
Harryman,David C
Hazel,Daniela N
Hester,Jason Aaron
Hobson,Bethany Lin
Hodge,Stephanie Leigh
Holland,Mary Kathleen
Holland,Nathan T
Houston,Jessica D
Houze,Patrick Tyler
Huffine,Tiffany Raye
Hughes,Jeffrey David
Hughes,Patrick Henry
Hunnicuttt,Amanda M
Hunter,Lashay L
Huntington,Arthur Butler
Ineza,Yvette
Jackson,Natasha M
Jerome,Jacqueline Lauren
Jessee,Andrew Thomas
Johnson,Elizabeth Claire
Jones,Jillian Monet
Jordan,Benjamin A

Kimsey,Katherine E
King,Jillian F
Kozas,Christina Lee
Leach,Stephen Michael
Leake,Mary Danielle
Levinsky,Mary Kathleen
Libe,Khotso T
Lickteig,Timothy Adam
Linde,Kevin Lee
Lisenby,Sarah Marie
Little,Brent L
Love,Patricia Faye
Lovelace,Ryan Michael
Lockett,Hannah Alise
Luttrell,Kristy
Mabley,Allison M
Mahama,Fayad
Marshall,Midaya Rahle
Masterson,Kelly L
McCarthy,Caitlin Elizabeth
McClain,Scott M
McClellan,William T
McCleskey,George C
McCormick,Allyson Rae
McCulloch,Ben Robert
McGarity,Patrick Ian
McIntyre,James T
McMillen,Krista Michelle
Medved,Chase S
Melillo Vejas,Valeria
Mitchell,Aja Marie
Monroe,Gregory M
Moore,Janice Ylonda
Morten,Antwyne
Muhammad,Jameelah Aaliyah
Mwimanzi,Victor Wynn Jones
Myers,Griffin Scott
Nawabi,Noorullah
Nichter,Thomas Joseph
O'Brien,Christina M
Oliver,Anna M
Pannell,Mindy
Pascley,Troy A
Patrick,Evan E
Pedigo,John M
Pellman,Christina Marie
Pham,Bich Chi Thi
Pitts,Gabriel I
Poff,James E
Presnell,Hunter C

Ratajczak,Zdzislaw Victor
Ray,Danielle N
Reetz,Kevin
Richard,Latasha Y
Riley,Dana Evans
Ritter,Rachael Elizabeth
Robards,Rebekah A
Robards,Virginia Ann
Roberts,Amanda M.
Roberts,Lauren T
Robertson,Molly M
Rodas,Ana Beatriz
Rose,Lora Jo
Ross,Danielle S
Rudolph,Kayla J
Schaub,Allison
Schmerge,Lauren
Schmidt,Whitney Don
Scott,Christopher P
Scott,Erica Anne
Seal,Cole Daynae
Seelow,Terrance
Shelton,Kasi Ashanti
Shiner,John Bennett
Sims,Wesley T
Skaggs,Brent Young
Smith,Jeremy C
Smith,Michael W
Smith,Sydney Gabrielle
Smither,Casey K
Sprawls,Emily R
Stamp,Bethany Elaine
Stepney,Monique Diane
Stettenbenz,Linda Gayle
Steurer,Cheryl Ann
Stober,Stephanie Ann
Sturm,Claire Andrea
Taleghani,Daniel F
Taylor,Nicholas Wayne
Thompson,Abigail N
Thompson,Amanda Renee
Thompson,Amelia A
Thornhill,Ryan J
Tipping,Jillian T
Tracey,Danielle M
Tyler,Jeremy D
Underwood,Elizabeth Carol
Van Sickle,Charles M
Veatch,James Bret
Viers,Nicholas S

Wajda, Steven Robert
Walker, Leah E
Wallace, Jennifer Lynn
Walter, Christopher James
Ware, Sherisunma
Wearren, Jessica Suzanne
Webster, Alicia Kae
Wells, Brittany Elizabeth
Wezensky, Jamie
Whatley, Taylor A
Wilcke, Madlen Margaret
Williams, Shelia Kay
Wills, Lindsay Nicole
Wilson, Benjamin Martin
Wilson, Kelly K
Wint, Robert D.
Wood, Brittany L
Wood, Logan Drake
Woodard, Shelia Lattelle
Woolley, Aubrey Radford
Young Davis, Cheryl Lee
Zeppa, Desiree' Britanni
Zoldak, Vincent William
Zurkuhlen, Priscilla

Bachelor of Science

Asher, Lauren Nicole
Barker, Paul J
Bastin, Olivia Kelsey
Batovsky, Lyndsay Desirea
Bebout, Stephanie L
Beck, Ashley Lauren
Bell, Andrea Michelle
Bennett, Nicholas Ray
Bishop, Andrea Katherine
Boone, Adam Nicholas
Boshoff, Noreen Ashley
Bowling, Kevin M
Bowling, Michelle Lynn
Braden, Virginia E
Bratton-Jeffery, Anne Marie
Brown, Katherine Ann
Brown, Shahera Collette
Brownlow, Devin LaMar
Bruner, Joshua David
Burnash, David John
Burton, Sarah Michelle
Carey, John Matthew
Carey, Joshua

Carter, Sara Elizabeth
Chandler, Stephen Wesley
Clark, Christopher Martin
Cochran, Catina Denise
Cummings, Adam Steven
Cundiff, Matthew Charles
Dailey, Joseph T
Darst, Roy Lee
Denny, Chelsea
Desai, Bela Uday
Dickerson, Aaron Tyler
Dunlap, Kimberly Ann
Dykes, Steven Craig
Edwards, Benjamin R
Ehlig, Heather Denise
Engelberg, Kelli Marie
Fargen, Catherine A
Faulkner, Kala
Ferrell, Benjamin E
Findley, Eric Joe
Flynn, Erica Suzanne
Gamble, Ashley Nicole
Gnat, Rodney J
Greenwell, John C
Greer, Kelly Nicole
Griffith, David Aaron
Guzman, Paul A
Halahel, Farid Halim
Haley, Adam Patrick
Harned, Brittany G
Harp, Joshua Mitchell
Hatfield, Nathaniel Tavis
Haywood, Emily Lynn
Herdt, Donald R
Hesse-Colon, Elizabeth N
Hoffmann, Heather Renee
Holder, Crystal Michelle
Holliday, Gary L
Holtman, Laura Elizabeth
Hook, Erin Renee
Hoover, Hannah Marie
Hutcherson, Jennifer Jay
Johnson, Lauren Elise
Jones, Justin M
Kaiser, Mark W
Kalra, Gaurav
Kent, Gail Alison
Kessler, Ryan James
Kim, Eun Young
Kipfer, Katie Ellen

Kirby,Nathan Andrew
Kistner,Leslie George
Knott,Patricia A
Lamb,Jonathan Michael
Lang,Debra Michelle
Lanham,Christopher Carl
Lennon,Lauren N
Lewis,Frances Ann Deevelyn
Loranger,Raymond James
Mach,Mawut M
Mannel,Jordan A
Martin,Emily Lynn
Martin-Davis,Kimberly R
Mason,Chong-Hui
Massie,Jeremey Richard
McGee,Stephanie Renee
Michels,Victoria Ryan
Miller,Tyler G
Minor,Jordon D
Mitchell,Cindy Demetria
Montano,Matthew William
Morris,Brian Theodore
Mucker,Charese J
Murphy,Reid S
Neutz,Kacie R
Nichter,Brent W
O'Connell,Matthew Thomas
Oldham,Cami N
Palma,Alexandra
Pantalos,Amelia C
Parnes,Jacob Max
Patel,Mayur Amrat
Patrick Jr,Johnny Vincent
Peikert,Michelle Sara
Piner,Joseph B
Polan,Boris
Porter,Sarah L
Pullen,Courtney Danyale
Pulley,Mitchell Aaron
Quiggins,Julia Paige
Rausch,Nathaniel
Reed,Abigail Kathleen
Richard,Patrissa Dane
Roberts,Amanda M.
Scadden,Carrie Lynne
Shirley,Diamond A
Smith,Stephanie A
Soult,McKinley David
Speed,Kristine Marie
Stein,Emily A

Stingily,Byron Andrew
Sukhorukov,Alexander
Talbott,Amy L
Tariq,Afia
Tatum,Malcolm Jerome
Tello,Stephanie Leigh
Thomasson,Mika Kathleen
Tran,Vy T
Valladao,Laura Ashley
Varie,Lesa N
Veri,Michael A
Wadwell,Kristen A
Wall,Elizabeth Renee
Wall,Jessica C.
Watson,Evan M
Webb,Patrick
Welch,Alexander H
Whitacre,Rachel Marie
Whitis,Kaitlyn M
Whitlock,Tara N
Wiley,Joshua Bolden
Williams,Jenna Charlene
Williams,Roland RaShawn
Wimsatt,Candace L
Wisotzkey,Michael W.
Woods,Terri Lynn
Woolfolk,Sanita L
Young,Jessica M

Bachelor of Fine Arts

Brown,Lucy Morgan
Cameron,Hannah Lee
DiBeneditto,Jennie E
Dunlany Bishop,Elizabeth Anne
Edwardson,Ashley Vivian
Foyah,Tamba J
Gibbs,Jesse W
Hart,Ashley B
La Greca,Stephanie A
Payne,Lisa
Vergara,Riza J
Zwanzig,Anna M

Associate in Arts

Hazard,Elizabeth Ann
Heimbrock,Erin Leigh
Lee,Jacqueline
McCleskey,George C

Moloney,Julie Ann
Starks,April Louise
Wagner,David Christopher

Certificate in Pre-Medicine

Kristiansen,Karl A

College of Business

Doctor of Philosophy

Buttermann,Garry George

Master of Business Administration

Agyeman,Michael
Armstrong,Richard Chase
Barry,John William
Buege,Lynsey Brianne
Cielinski,Christopher John
Dixon,Chester Robert
Embry,Adam Ray
Fitzgerald,Jessica Kathleen
Grande,Christopher M
Jorgensen,John Jay
Mahlbacher,Michael Henry
Montoya-Durango,Diego Elias
Renye,Michele Jeannine
Smith,Jeffrey Scott
Sotsky,Jacob Neal
Sowder,Jason Daniel
Squire,Erich Kent
Srinivasan,Mahesh Kumar
Stradley-Meagher,Ginny L.
Taliaferro,Ryan Lucas
Vila,Miran
Williams,William Charles
Wortman,Douglas Ryan

Master of Accountancy

Coover,Holly Nicole
Dirie,Abdirisak F
Ellingsworth,Amanda Marie
Greenwood,Amber Nicole
Reichgott,Aaron George
Sowder,Jason Daniel
Taylor,Alec Benjamin
Zhou,Bai

Bachelor of Arts

McClellan,William T
Thompson,Ross Michael
Wrenn,Dallies L

Bachelor of Science in Business Economics

Fautz,Carolyn Marie
Frederick,Keith Anthony
Matthews,Price
Moore,Justin Christopher
Steele,Michael G
Thornton,Roderick Duane
Zorn,Steven Michael

Bachelor of Science in Business Administration

Ahern,Jenna Lyn
Ahmic,Nermina
Akinbola,Oladele
Alexander,Ian Daniel
Alhamwah,Fahad
Alrashdan,Khalid
Anand,Atul
Ashford,Tracy Jannel
Barker,Thomas E
Baynum,Ashley J
Beeler,Jennifer Leigh
Berginski,Sarah Elizabeth
Bertolone,Mark Joseph
Blankenship,Alisa Dawn
Botkin,Dawna J
Bramlett,Deacon P
Bridgewater,Grant Douglas
Bustamante Chong,Keyla Katherine
Byrd,Jason Cleo
Cable,Danielle Elizabeth
Cahill,Matt
Cain,Vincent P
Calhoun,Calvin Dimitri
Campbell,Erin Elizabeth
Castro,Jorge Arturo
Cecil,Shannon May
Cheatham,David Michael
Clark,Lavon
Clayton,Carrie Marie
Coates,Amber Michele
Cohen Donoso,Sion

Cohen,Melissa Suzanne
Colliver,Todd Howard
Conkwright,Bradley Allen
Conlee,Jordan Whitt
Cook,John Cassidy
Cooper JR,David Fitzgerald
Corneilson,Megan
Coulter,Justin Morgan
Deutl,Mary Elizabeth
DiBeneditto,Jennie E
Dockter,Michael A
Doninger,Ben J
Dudorov,Konstantin
Duvall,Adam Lynn
Eastman,Jenna B
Ferreira,Ryan Joseph
Fink,Davis Michael
Floden,Michelle J
Fritsch,Erica L
Givens,Katherine Elizabeth
Googe,David Andrew
Graham,Zachary W
Greene,Katelyn
Gresham,Fatiana
Haga,Stacy M
Hall,Terry Lee
Hammer,Kathleen Davin
Hammond,Lindsay R
Harlamert,James Martin
Hartz,Ashlie Nicole
Hayden,Kelly Maureen
Haysley,Joshua E
Healy,Craig A
Henken,Olivia M
Herrera Perez,Nina Esther
Hill,Samantha Gayle
Hoagland,Matthew Ryan
Horton,Timothy Edwin
Hough,Lauren
Howard,Marco Noel
Huenefeld,Brady L
Hughes,Melanie Maria
Hunter,Samuel E
Jackson,Amy K
Jackson,Corey
Jenkins,Joy Patrese
Jerome,Jacqueline Lauren
Johnson,Donna Lynn
Johnston,Christopher Byron
Jones,Cyndal Rose

Kaberle,Lauren Marie
Kelly,Nikolas Leigh
Kenderes,Bryce William
Kourahbi,Mohammad Hamzeh
Kramer,Michael Dennis
Lacy,Ryan Patrick
Lafave,Kristen G
Largen,Brandon Michael
Lasso Schmincke,Claudia Gabriela
Laswell,Steven J
Lawrence,Joshua D
Lehr,Isaac David
Lewis,Adam Leonard
Logsdon,Emily Jeannine
Lonnemann,Daniel P
Lott,Kimberly Shanell
Mason,Casandra B
Masterson,Justin A
Mattingly,Clinton Joseph
Mattingly,Michelle E
McDanel,Brittany Dawn
McGovern,Alisha Nicole
McGovern,Erin R
McHendry,Andrew R
Medina Ho,George Richard
Medley,Eric Wayne
Melwing,Kyle J
Merrick,Donald J
Moosbrugger,Christof A
Morrison,Nicholas C
Neal,Rachel E
Newman,Jecorey A
Nunnally,Reed Barret
Nuredin,Nermin
Owen,William C
Padgett,Brenn Alicia
Parker,Daphne Aileen
Partin,Brett Thomas
Patton,Heather L
Peery,Stephen Michael
Pence,Peter J
Perkins,Chad Allen
Perry,Chris
Price,Joseph W
Ramser,Kelsie Brooke
Rasche,Benjamin C
Recktenwald,Krista J
Reilly,Timothy D
Reiter,Cynthia J
Rick Jr,Scott Anthony

Riner, Russell Wadlington
Robertson, Ashley B
Rouse, Austin
Roy, Scott R
Ruppert, Zachary T
Ryan, Kristen R
Sanders, Taylor Jay
Self, Bryan R
Shaw, Gabriel
Shiao Mo, Luisa
Shields, Brian D
Sierra de Leon, Maria Belen
Sims, Decker N
Sivori, Scott Daniel
Skelton, Corbin Thomas
Slattery, Sean T
Smith JR, Phillip Ray
Speck, Cayce Ann
St John, Kenneth Ballard
Staker, Jason Matthew
Stewart, Susan M
Strain, Heather Marie
Temple, Collin David
Tieu, My Thu
Traylor, Steven Adam
Trespacios, Jeffery
Vega Hernandez, Julio Cesar
Vittitow, Natalie D
Walker, Jonathan R
Wilson, Megan Elizabeth
Woods, Courtney L
Wooten, Rachel Elizabeth
Wright, Jeremy A
Wright, Timothy Mitchell
Zambrano Lee, Marie Laure
Zeller, Gregory E
Zihar, Marly G
Zorn, Steven Michael

Certificate in Accounting

Cassin, Matthew Douglas
Chausenko, Inna L
Ennenbach, Theodore Vincent
Hickerson, Christopher Steven
Hobbs, Darren Jerome
Kasich-Pylypenko, Ievgeniia
Leake, Robert Clark
Ling, Balan
Mooney, Craig Scott

Pedigo, John C
Phillips, Vincent Edward
Ratterman IV, John Benedict
Steinmetz, Mary Anne
Stekardis, Angelo
Thompson, Laura Elizabeth

School of Dentistry

Master of Science

Goyal, Dipti

College of Education and Human Development

Doctor of Philosophy

Anthony, Michael David
Ardasheva, Yuliya Y
Barlow, J.E.
Buecker, Harrie Lynne
Cornell, Audrey Smith
Hulan, Nancy Franklin
Kent, Kimberly Lynne
Kleber, Mary Alice
Lanham, Jan Kathryn
Lee, Donna Brostek
Lowrey, Kathryn Elizabeth
Mahan, David Marshall
Mays, Ronald Brent
Pickup, Jean Elizabeth
Pike, Mary Ellen
Scott, Ophelia Turner
Seitz, Theresa Lynn
Shelton, Thomas David
Skuller, Joshua B
Stenton, Shawna Lynn
Thomas, Linda Joyce
Todd, Rebecca Jo Curry
Upton, Sonia Anne
Vanderhaar, Judi Elisa
Wahl, Clare Thompson
Woods, Connie

Doctor of Education

Allen, Denise
Hibbett, Michael
Redmon, Lynda Darlene

Specialist in Education

Estes, Jennifer Beth
Gerstner, Tiffeny Ann
Weiger JR, Rodney Lee

Master of Arts

Andrews, Courtney Taylor
Clarke, Anthony James
Hamman, Mallory Sarah
Lee, Allisha L
Menasche, Robin Lisa
Stevenson, Melissa Ann
Van Lier-Smallwood, Shalysa Annita

Master of Science

Abi Nader, Patrick
Adams, Katie J
Arnold II, Robert Blaine
Burrell, Brittney Marie
Campbell, Charles R
Chapman, Megan Ashley
Conklin, Christopher Alan
Donoso, Jose Adrian
Eakin, Brett Anthony
Engel, Heather Dianne
Fahmy, Meriham Kamel Mohamed
Farrel, Zachery Jonathan
Hanauer, James David
Hines, Miranda Jean
Hopkins, James Andrew
Longazel, Brad Thomas
Maafala JR, Albert Hayward K
Ogden, Ashley M
Paul, Devrinn Thomas
Sawyer, Katharine Anne
Scoggins, Matthew James
Smith, Mark Allen
Summers, Jere Chardonae
Swords, Cody Lee
Tarnofsky, Michael Joseph
Veerabhadrapa, Smitha Ganjigatte
Vongooru, Swapna

Master of Education

Baptiste, Irina
Barksdale, Julie Ann

Barnum, Laura Jean
Barth, Jennifer Rebecca
Bartley, Lisa S
Blandford, Emily Morgan
Blatz, Ben Tyler
Bohman, Heidi Danielle
Carr, Megan Nicole
Casey, Amanda Beth
Cassady, Elizabeth Mitchell
Crenshaw, Betty Sue
Dickenson, Jenna Alexandria
Dinyes, Lynn Sermonis
Dix, Leah Lenore
Dolan, Allison Danielle
Edwards, LaQuita Shanee
Fain, Cheryl Ann
Gajdik, Martha Michelle
Gaskins, Robert Wayne
Glass, Latonia Anette
Harville, Lanita Jo
Kendrick, Monna Jean
Lippman, Susan D.
Logsdon, Melissa Rose
Matarese, Alison R
Modarelli, Nicholas D.
Mullins, Tracy Godwin
O'Brien, Emily Bray
Peak, Anna Elizabeth
Pereira, Maria Isabel
Piechowski, Hannah R
Piscitelli, Terri Jo
Ramey, Vicky Vaught
Sandberg, Regina D
Schardein, Lee Marie
Schultz, Robin Lynn
Shore, Pamela Anne
Smallwood, Ondrea Marie
Smith, Katherine
Sparks, Sarah Davis
Stephenson, Beverly JoAnn
Summerfield, Nellie M
Torra, Leandra Rice
Turner, Winifred Mallory
Wang, Huan Mei
White, Jennifer Galvin
Wieland, Paul Edward
Wren, Beth A
Yourous, Hayley Elizabeth

Master of Arts in Teaching

Ackley,Julie Ackley
Burke,Brittany Kathryn
Digan,Andrew Patrick
Dockery,Pamela S
Dowdy,Jennifer Ann
Fields,Rachel Nicole
Flynn,Mindy Rae
Gognat,Brian Anthony
Hettinger,Natalie Iris
Honeycutt,Janet Beal
Lechleiter,Nicole Marie
Link,Kenneth Brett
Luking,Elizabeth Ann
Lynn,Alice Gail
Owen,Jamie Lee
Pierce,Sarah Elizabeth
Ray,Joshua Michael
Schepers,Madalyn Stubblefield
Schneck,Kevin Richard
Schuler,Jesse Daniel
Tinsley,Kaitlin Danielle
Tucker,Mollie Scott
Walker,Stephanie Segretto
Watson,Rayleen Gale

Bachelor of Science

Abrams,Anticia Manae
Adams,Jeffrey Michael
Alexander,Timothy Joseph
Allen,Joseph Lee
Arnold,Jeffrey Kenneth
Ash,Erin Leigh
Ballard,Lawrence Christopher
Barrett,Stephen James
Blakemore,Lauren Elizabeth
Blandford,Michelle Ann
Booker,Jena Dale
Bossmeyer,Kimberly Denise
Brown,Mark Reiss
Brunner,Andrew Wayne
Bulka,Peter Paul
Burawski,Kendra Alexis
Byrd,Patricia Diane
Cable,Danielle Elizabeth
Cappotelli,Matthew L.
Carroll,James Fitzgerald
Carter,Gary
Caulk,Justin David

Clark,Andrew Brian
Clemons,Phylicia Rasha
Click,Oran Lawrence
Coleman,Ashley
Conley,Keith Joseph
Cross,Stephen Allen
Cunningham,Shane Robert
Danridge,Shonay A
Davis,Nichole Priscella
Dock,Kyle James
Dowell,Sherie Anne
Edwards Jr.,Jasper
Ellis,Jared S
Embry,Adam Ray
Erny,Samuel W
Esarey,Andrew Patrick
Espinoza,Geraldine Ann
Fischer,Shannon C
Folse,Deborah Ann
Gillock,Brian W
Gilpin,Tiffany Brooke
Gingerich,Peter Martin
Gosney,Jessica Leanne
Grimes,Jocelyn Christine
Groseclose,Erin M
Hammond,Robin Machelles
Harvey,Theresa Ann
Hash,Krystal Marie
Hausley,Davin Michelle
Herps,Darlene R
Hill,Tamara Vanessa
Hines Mallard,Janis Rene
Hobbs,Craig
Holston,Angela L
Howard,Brittany A
Hudgins,William Corry
Hulsman,Matthew J
Ingram,L'Tanya D.
Isaac,Dawn Marie
Jackson,Jamie Rodriguez
Jarrett,George W
Jennels,Carla Whitney
Johnson,Tonya Yvette
Karimian,Lisa J.
Keith,Jamie Yvonne
Kilbane,Brandon Forrest
Kimbrow,Charlene W
Lamkin,Terry Brent
Land,Jennifer Clark
Lands,Shabaka Menes

Leachman, Christopher Corey
Little, Candice Brooke
Lovelace, Leslie L
MacAuley JR, Richard Paul
Martinez, Timothy
Maxwell, Carlton Robert
Meagher, Zachary James
Millin, Toni K
Minton, Karen Delorse
Missinne, G D
Molony, Adam D
Newsome, Bryan J
Newton, Jeremy R
Noltmeyer, Elayne M.
Nord, Christi L
Osborne, Corey Scott
Owens, Alexis W
Parise, Leigh A
Penny, Amber L
Perkins, Brandon Alexander
Phelps, Amy Lizabeth Kathryn
Poole, Molly Burke
Pressley, Jenean Irene
Price JR, Michael Edward
Price, Kendall
Puckett, Vickie Modesty
Rager, Jennifer Lynn
Ramby, Ashley Rae
Reed, Kevin W
Rogers, William Wesley
Schindler, Nicholas A
Schneider, Brian G
Seelye, Rebecca L
Shephard, Adam
Shover, Samantha
Slenker, Nathaniel Christopher
Smith, Jessica R
Smith, Sarah E
Sowell, II, Eugene Dixon
Strange, Joshua Allan
Stringer, Mary Jennifer
Thomas, Alex Joseph
Thompson, Lindsey
Trammell, Dennis Hawthorne
Van Aerde, Jo-Ann D.
Vera, Sandra Sislendy
Wadell, James Kevin
Wadwell, Kristen A
Walker, Dakota Maxwell
Walters, James M

Washington, Alfred Tyrone
Watson, Gary R.
Wellman, James Payton
Westfall, Kiera A
White, Anne F
Wilson, Nicholas P
Wilson, Nina L
Youman, Nicole Louise Pamela
Young, Jaime Louise

Bachelor of Science in Early Elementary Education

Clarke, Sarah R
Cooper, Stacy Lynn
Spradlin, Shelby Melissa

School of Public Health and Information Sciences

Doctor of Philosophy

Brown, Anthony Kent

Master of Science

Chen, Yu Ting
Duan, Xinyuan

School of Interdisciplinary and Graduate Studies

Certificate in Data Mining

Row, Barry William

Certificate in Latin American and Latino Studies

Bates, Sheila Christne
Dennis, Kathryn Taylor
Metts, Tara Nichole

Kent School of Social Work

Master of Science in Social Work

Hall, Monica Lee
Haynes, Takisha D
Martin, Sheila Marie
Monohan, Jaime O.
Sapp, Holly Marie

Louis D. Brandeis School of Law

Juris Doctor

Campos,Roberto Arturo
Carby,William S
Fisher,James S
Grande,Christopher M
Kingsley,Jessica E
Murzyn,Jennifer M
Peyton,Jessica Michelle
Yeagle,Mellissa Eyre

School of Medicine

Doctor of Philosophy

Atay,Safinur
Bagaitkar,Juhi Aniruddha
Baruth,Joshua Matthias
Bojang,Pasano
Brown,Jonathan Ray
Eaves,Chelsea Anne
Fassbender,Janelle Marie
Imbert-Fernandez,Yoannis
Johnson,Paul R.
Krauss,Jennifer Lynn
Lavender,Nicole A
Lewis,Robert Kenneth
Moktar,Afsoon
Porter,Alex Michael
Russell,Gilandra K
Wei,Haiyang
Yang,Lu

Master of Science

Cheng,Pei Hsin
Halpern,Richard Michael
Hougland,Matthew Tyler
Ji,Rui
Kilgore,Tyler C
Kullman,Lydia Nicole
Lasnik,Amanda Beth
Legg,Bonita Elizabeth
Leggett,Carmine Simone
Schmidt,Robin Helene
Smith,Scott C
Ward,Patricia Jillian
Yang,Rong Qiang

Doctor of Medicine

Mahin,Cynthia Cox
Martin,Susan Duddy
Newsome,Justin B

School of Music

Master of Music

Cepeda,Lydia E
Hill,Michael D
Kim,Yun Sun
Ko,Kyung Ouk
Nastaev,Alim

Master of Music Education

Blankenship,Daniel
Dennis,Rebecca Ilene

Bachelor of Arts

Blankenship,Erica Faye
Chapman,Nathaniel Joseph
Lynn,Jessica K
Mosley,Claire E
Wallen,Robert Matthew
Welding,Kelly K
Whelan,Brittany Nicole
White,Kelli A
Wiseman,Sasha

Bachelor of Music

Howard,Felice N

Bachelor of Music Education

Byrum,Matthew David
Duvall,Katie Lou Marjorie
Hamilton,Joshua Lewis
Peterson,Daniel R
Polston,Aaron T
Spainhour,Jennifer N
Thomas,Brandon S
Welch,Robyn Lynnette

School of Nursing

Bachelor of Science in Nursing

Alonso, Tamara Michelle
Beckman, Emily Renee
Berry, Jennifer Leigh
Bradshaw, Michelle E
Brown, Amy Lee
Buckman, Amanda Lynn
Burkett, Whitney Darayne
Capps, Joshua Ingram
Chandler, Lauren Jean
Coates, Britany Ann
Cunningham, Jennifer Crystal
Davis, Renee M
Dunn, Julie Michelle
Fannon, Christen A
Gebreamlak, Medhin G
Heishman, Ashley M
Hildesheim, Amanda Marie
Hill, Holly Marie
Hite, Angela Marie
Jones, Nicolette Kasey
Kassel, Courtney E
Kessinger, Kendal Nicole
Key, James B
King, Kimberly Ann
Koranda-Niese, Jennifer A.
Langford, Jaime L
Leach, Tara R
Leis, Alexandra Bayens
Logsdon, Emily C
Mattingly, Mandy J
Maum, Amanda Jo
Miller, Lyssa Alexandra
Montero-Montes de Oca, Eisel
Muncy, Kara E
Neff-Short, Patrick
Neumann, Megan E
O'Donnell, Shannon Leigh
Phillips, Kristen Michael
Reeves, Jillian R
Reynolds, Courtney B
Ruley, Michael
Schuler, Amanda R
Sherrell, Alison Meredith
Shipman, Victoria Jean
Shofner, Amanda M
Singer, Kasey A
Smith, Stephanie E
Smith, Tonya N

Stephens, Heather Marie
Stiles, Deborah Lynn
Stivers, Steven C
Taft, Lori Rene
Tanner, Nichole Elizabeth
Texter, Kimberly E
Tilley, Mackenzie T
Tindle, James Edgar
Truesdell, Lana Michele
Webster, Tonya M
White, Tara Brooke
Williams, Jessica Katelynd
Wilson, Jacquetta Nicole
Winters, Samantha C
Wood, Corey T

J. B. Speed School of Engineering

Master of Engineering

Acosta, Raquelis
Alstott, Jeffrey Mattingly
Anderson Jr, Anthony B
Argueta Cardona, Franklin Miguel
Ash, Jessica R
Baker, Christopher Matthew
Baker, Stephan Allen
Bannon, James Anthony
Baptista, Angela Sofia
Batman, Benjamin Jerome
Berrio Santiago, Jesus Dario
Byrne, Ryan Christopher
Chu Koo, William
Coleman, Christopher A
Cox, Emily R
Cox, Maisha Makeda
Cubilla, Amaral
Curry, Alexander D
De Sedas, Elvis Joel
Dickerson, Joshua A.
Dobbs, Michael Thomas
Ebelhar, Jacob P
Eckert, Patricia Marra
Elmes, Brandon B.
El-Refai, Kareem Osman
Ennis, Robert Dean
Eppheimer, William S
Escobar, Marla Maythe Herrera
Frodsham, David William
Fuentes, Juan Carlos

Gaitan,Jose Luis
Gallany,Johana Carolina
Giron,Milagros Agustina
Gonzalez,Victor Raul
Goodlett,Ryan M
Graham,Joel D
Greenwell,Sarah C
Henao Ordonez,David Eduardo
Hensley,William Gregory
Hickman,Eric Joseph
Hides II,David Christopher
Ibanez Lopez,Javier Alberto
Jeanine,Cinthya Carolina
Kelly,Jacob Michael
King,Benjamin C
King,Kenny J
Krawczyk,John William
Kullman,Whitney L
Kumler,Kristopher Lee
Leezer,David Andrew
Lenihan,Nikole Marie
Lewis,Joseph Daniel
Luyster,Bradley Alan
Mccord,Richard Gordon
McLean Ruiz,Jose Antonio
McMackin,Zachary Vincent
Meador,Dylan Wayne
Melton,Benjamin Charles
Milburn,Chad R
Mulic,Ines
Nachtman,Elijah T
Nguyen,Hien M
Nicholson,Kelly Marie
Olson,Lane Allan
Ortiz Sune,Anibal Johvan
Ortiz Vilar,Adolfo Edmundo
Osborne,Thomas Lee
Osterle,Martin
Prather,Gregory T
Raburu,Kevin
Reese,Derek Allen
Repetto Solano,Atilio Omar
Russell,Harry Benjamin
Salmons,Darrel M
Sayler,Travis W
Schmezer,Uwe
Shaban,Mohammad N
Shifflett,Steven Wayne
Sims,Patrick Charles
Sudholt,Sven

Sunding,Jacob Alan
Szewczyk,Thomas G
Taylor,Sheree R
Todd,Mark O
Valdes,Adan Ernesto
Valdes,Jaime
Valdez,Leonel
Vasquez Greco,Lian Cristel
Vega Fajardo,Thelma Carolina
Watson,Justin D
Willingham,Shelly A
Zimmer,William C
Zuleta Raydan,Maria Virginia

Doctor of Philosophy

Bansal,Tanesh
Ben Abdallah,Ahmed Chamseddine
Biton,Danielle
Burnett,David Roger
Deshmane,Chinmay Avinash
Hadavale,Rajesh
Lee,James J
Meduri,Praveen
Rara,Ham Moso
Rojkova,Viktoria Borisovna
Saka,Esin
Thaemert,David Karl
Venna,Surendar Reddy

Master of Science

Abd El Fattah,Ahmed Badr
Barb,Argelis del Carmen
Becker,Carsten
Behrens,Alexandra Antonia
Bernhardt,Peter
Bhavanam,Kranthi Kumar
Bogner,Alexander Ludwig
Brem,Peter
Cimander,Philipp Andrea
Cziha,Andreas
Dhaliwal,Gobindjit Singh
Dieder,Sonja
Disibio,Martin Thomas
Eissler,Michael
Fosu,Wolfram K
Gaspar,Viktor
Giroldi Crespo,Maria Eugenia
Gonella,Uday Bhasker

Grosse, Peter
Hahn, Oliver
Heitz, Paul Victor
Herhold, Lars
Hernandez, Estefania
Hive, Manuel
Hoang, Trung Vu Thanh
Hoover, Scott Randall
Hutteroth, Alexander
Kieviet, Andre
Mono, Patrick
Norkowski, Tobias Helmut
Ramming, Silke
Reese, Kristopher Wayne
Saka, Ernur
Stech, Joerg
Suresh Kumar, Srikanth
Tandy, Paul S.
Thompson Rivera, Paul Alejandro
Vesely, William Scott
Wallach, Julian Holger
Weste, Florian Joachim
Zerres, Thomas

Certificate in Environmental Engineering

Ennis, Robert Dean
Hickman, Eric Joseph
Kullman, Whitney L
Nguyen, Hien M
Sims, Patrick Charles

Bachelor of Science in Bioengineering

Awadallah, Ahmed
Canfield, Nicholas Dale
Clarkson, Cortney R
Henry, Ben
Mann, Megan

Bachelor of Science in Chemical Engineering

Crowe, Shawn

Bachelor of Science in Civil Engineering

Carrico, John Kenneth
Cummins, Casey Allen
Franklin, Brandon Lee
Lewis, Joseph Micheal

Loch, Sophea
Mudd, Lauren Ashley
Pritt, Michael S

Bachelor of Science in Computer Engineering and Computer Science

Adams, Justin Robert
Ballard, Brian Thomas
Bell, Nicholas H
Booher, David Benjamin
Byrne, Ryan Christopher
Caudill, Nicholas Adam
Englert, Jared Marshal
Hicks, Vanessa Almeda
Hurt, Daniel Jay
Knopf, Nicholas C
Massey, Jeffrey W
Ott, Eric Leonard
Rekowski, Martyn M
Richardson, Adam Justin
Saidi, Awes M
Schoch, Bradley Lawrence
Smith, Jason S
Sobberi, Joseph A
Stribinskis, Karolis

Bachelor of Science in Electrical Engineering

Allen, Zachary Wayne
Bartley, Christopher Michael
Baumer, Aaron Michael
Baumer, Evan A
Bell, Anthony Thomas
Broering, Michael Joseph
Bryant, Andrew T
Crider II, Joel A
DeVeau, Michael Richard
Greenwell, Cody R
Hunter, Paul Jeffrey
Kiser, Larry Lee
Newcomb, Zachary R
Ryan, Steven P
Schoen, Michael Kevin
Smith, Nicolas E
Staublin, Michael P
Thomas, Frank Wesley

Bachelor of Science in Industrial Engineering

Abell, James Matthew

Alessandria Ibanez, Pierre Angelo
Lenihan, Nikole Marie
McCoy, Corey C
Thompson, Dustin K

Bachelor of Science in Mechanical Engineering

Afiyet, Hamit
Baggett, Taylor David
Blackburn, Derek Maxwell
Bradley, Joshua Ryan
Bredhold, Richard Donald
Caprara, Robert Joseph
Cooper, Neil Matthew
Corbin, Raymond S
Cox, Parker Thomas
Dennison, Donald Scott
Durr, Daniel Allen
Fox, Eric C
Fraley, Emily J
Hamilton, Brandon S
Hughes, Thomas C
Kmetz, Tyler M
Lacefield, Nicholas Ryan
Meuris, Brek Joseph
Millican, Jonathan A

Additional Candidates and Graduates

College of Arts and Sciences

Doctor of Philosophy

White, Rodney J

Master of Arts

Barnes, Tiffany Mith

Master of Science

Masitas Castillo, Cesar Antonio

Bachelor of Arts

Adams, Robert Dallan
Burich, Hilary Alvey
Herbert, Joshua R
LeCompte, Jason Samuel
McDonald, Steven James

Myser, Benjamin S
Onkst, Tyler James
Pham, Jeffrey
Pharris, Paul A
Pulliam, Stephen M
Sargent, Scott
Schnitzer, Mark Harold
Schnitzer, Matthew Robert
Seeger, Joseph Bryan
Siegel, Benjamin T
Sims, Jonathon K
Tucker, James Lee
Zembrodt, Kurt L

Certificate in Network and Information Security

Gallup, Galen Brian

Menaugh, Kyle C
Patel, Purna R
Sholar, Stacey Brooke

Certificate in Pan-African Studies

Johnson, Jonathan Lee

Certificate in Pan-African Studies

McDonald, Steven James

Certificate in Medieval & Renaissance Studies

Barnes, Tiffany Mith

College of Business

Bachelor of Science in Business Administration

Guinn, Lara Elizabeth-Anne

Hagan,Sean McKiernan
Russo,Christina L
Sattich,Daniel D
Wilborn,Benjamin Ace
Wilborn,Benjamin Ace

College of Education and Human Development

Doctor of Philosophy

Bayes,Cynthia Anne

Specialist in Education

Hageman,Marcia O'Grady

Master of Science

Samuels II,William Clark

Master of Education

Davis,Paige Gertrude
Fisher,Gary Alan
Purvis,Eric Sinclair
Smith,Katherine
Sparks,Myla Danielle

Master of Arts in Teaching

Osbourne,Todd Michael

Bachelor of Science

Butts,Shyran Christopher
Young,Jaime Louise

Bachelor of Science in Early Elementary Education

McClain,Molly

Louis D. Brandeis School of Law

Juris Doctor

Haas,Donald Joseph

J. B. Speed School of Engineering

Master of Engineering with specialization in the field of Mechanical Engineering

Callan,Michael Francis

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

November 11, 2010

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.

Action:

Passed X

Did Not Pass

Other

Katalin M. Smith
Assistant Secretary

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

November 11, 2010

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 Research Foundation, Inc.; 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 Research Foundation, Inc., 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
William Pierce	Interim Executive Vice President
Michael Joseph Curtin	Vice President
Matthew H. Witten	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 the said Managerial Group personnel listed below be temporarily excluded from access to all classified information until such time that their clearances are processed and they have received appropriate security clearances:

Larry N. Cook	Executive Vice President
William Pierce	Interim Executive Vice President

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:

Sana Abhari
Marie Abrams
Jonathan Scott Blue
Ronald Dean Butt
Kevin W. Cosby
Owsley Brown Frazier
Brent A. Fryrear
Salem M. George, Sr.
Augusta Brown Holland
Robert Curtis Hughes
Rebecca Day Jackson
Mark E. Lynn
Frank Minnifield
Bruce Moore
Larry L. Owsley
Jack Chester Porter
Robert W. Rounsavall, III
Debbie Scoppechio
William Selvidge
Robert Staat
Phoebe A. Wood

THAT this Resolution supersedes the Resolution of July 8, 2010 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 11th day of November, 2010, 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 11th day of November, 2010.



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