

RAYMOND A. KENT SCHOOL OF SOCIAL WORK AND FAMILY SCIENCE

Faculty Personnel Procedures

I. Preamble

The faculty of the Raymond A. Kent School of Social Work and Family Science is responsible for establishing minimum personnel policies, procedures, and standards that are consistent with The Redbook and University's Minimum Guidelines for Faculty Personnel Reviews. Policies, procedures, and appendices contained herein shall govern the search, appointment, annual, mid-tenure, tenure, promotion, and periodic career review process for all part-time, term, probationary, tenured, emeritus, gratis, honorary, and affiliated faculty in the Kent School of Social Work and Family Science. In addition to this Faculty Personnel Procedures document, two handbooks have been created (Searches and Appointment/Promotions) that contain examples of letters, procedures, and actions from previous Personnel Committee activities that are available to faculty.

II. Faculty Appointments

The types of faculty appointments at the Kent School of Social Work and Family Science are Temporary, Part-time, Term (non-tenurable), Probationary (tenure-track), Tenured, Emeritus, Gratis, Affiliated, and Honorary as specified in The Redbook, Article 4.1.

- A. Temporary appointments to the various academic ranks may be made for time periods less than one year or for special purposes. In no case shall a temporary appointment or a renewal thereof result in the acquisition of tenure.
- B. Full-time faculty shall consist of all (a) Term (non-tenurable) Faculty, (b) Probationary (tenure-track) Faculty, and (c) Tenured Faculty within the Kent School of Social Work and Family Science.
- C. Term (non-tenurable) Faculty whose primary contract is for teaching shall be called Professors of Practice.
- D. Term (non-tenurable) Faculty whose primary contract is for research shall be called Research Professors.
- E. All full-time faculty recommended to the Dean for appointment will be identified through a search process (see Search Committee Handbook for a full description of the guidelines and requirements) carried out by a search committee approved by both the Personnel Committee and Full-time Faculty.
- F. Part-time faculty shall be those appointed by contract to teach specified courses and/or to engage in specialized instruction (field, supervision) or research, less than full time.

III. Policies and Procedures Specific to Part-time Faculty

A. Appointment Policies for Part-time Faculty

- 1. The Dean may appoint or reappoint Part-time Faculty for each academic term based on available performance data and the convenience of the University on

standard contract terms approved by the Provost. No part-time appointment, continuation, or renewal thereof, regardless of assignment or seniority, shall result in acquisition of tenure or implied renewal for subsequent periods. Part-time Faculty are not eligible for sabbaticals or other academic leaves.

2. Part-time Faculty may participate in university and unit governance as permitted by University and Kent School Bylaws. If required, such service shall be accounted for and recognized in the individual contracts. All part-time faculty are expected to participate in course specific meetings (e.g., meetings with other faculty teaching the same and/or similar course(s)) to ensure consistency and rigor of curriculum. Part-time faculty may be expected to attend Program Meetings and/or meetings with the Associate Dean for Academic Affairs that are relevant to facilitating the consistency and rigor of the curriculum.
4. The Associate Dean of Academic Affairs will consult with the appropriate personnel (i.e., course chairs, program directors) prior to making a recommendation of non-renewal contract of Part-time Faculty to the Dean.
5. Notice of non-renewal of the contract will be provided to the faculty member in writing via email or regular mail. Non-renewal of contract at the end of the appointed term is at the discretion of the Associate Dean of Academic Affairs and may be done without cause.

B. Appointment Levels for Part-time Faculty

1. Individuals with a master's degree in social work, couple/marriage and family therapy, or a related discipline as the highest degree attained may only be appointed as Part-time Instructors. The School designates three levels of appointment for Part-time Faculty at the Instructor Level—Instructor I, Instructor II, and Instructor III—each with its own graduated salary and experience level.
2. Individuals with earned doctorates in social work, couple/marriage and family therapy, or a related discipline as the highest degree attained may be appointed at one of three levels—Lecturer I, Lecturer II, or Lecturer III—each with its own graduated salary and experience level.

C. Annual Reviews for Part-time Faculty

1. The Annual Review for Part-time Faculty is to be conducted by the Associate Dean for Academic Affairs for those engaged in teaching and by the Associate Dean for Research for those engaged in research. The annual reviews of Part-time Faculty engaged in specialized instruction (e.g., supervision, field) will be conducted by their respective program directors and signed off by the Associate Dean for Academic Affairs. All reviews must include an ad-hoc part-time faculty member who serves as peer reviewer.
2. Part-time Faculty performance will be based on informal and formal evaluations, such as student ratings and comments on teaching evaluations (or equivalent) and input from the Director of Field or Clinical Director, Program Directors, Curriculum Sequence/Course Chairs, and/or Research Directors as appropriate based upon the contract or workload agreement for the faculty member. Overall

quality of performance will be determined by the Associate Dean for Academic Affairs or the Associate Dean for Research using the above and other pertinent data sources.

D. Promotion Eligibility for Part-time Faculty

1. Part-time Faculty appointed to Instructor ranks are eligible for promotion based upon the following criteria. Part-time Faculty at the Instructor I level are eligible for promotion to Instructor II after (a) at least 10 total semesters of satisfactory performance at the Instructor I level, and (b) teaching an average of at least 2 courses per year or equivalent workload assignment in research. Part-time Faculty at the Instructor II level are eligible for promotion to Instructor III after (a) at least 10 total semesters of satisfactory performance at the Instructor II level, and (b) average of at least 2 courses per year or equivalent workload assignment in research.
2. Part-time Faculty appointed with an earned doctorate are eligible for promotion based upon the following criteria. Part-time Faculty at the Lecturer I level are eligible for promotion to Lecturer II after (a) at least 10 total semesters of satisfactory performance at the Lecturer I level, and (b) teaching an average of at least 2 courses per year or equivalent workload assignment in research. Part-time Faculty at the Lecturer II level are eligible for promotion to Lecturer III after (a) at least 10 total semesters of satisfactory performance at the Lecturer II level, and (b) teaching an average of at least 2 courses per year or equivalent workload assignment in research.
3. If Part-time Faculty achieve earned doctoral degrees during their appointment as Part-time Faculty but before they have served ten (10) total semesters, they will be eligible for appointment in the Lecturer ranks beginning the next semester in which they teach.

E. Promotion Review Procedures for Part-time Faculty

1. The Part-time Faculty member is responsible for notifying the Dean's Office of their intention to seek promotion on or before June 1 preceding the fall semester of the review year. The Dean's office shall verify the Part-time Faculty's eligibility and notify the personnel committee of the Part-time Faculty member's intention to seek promotion by reviewing/cross checking its list of all Part-time Faculty as to their year of eligibility for promotion.
2. Promotion reviews for Part-time Faculty engaged in specialized instruction (field or supervision) or teaching will be conducted by the Associate Dean for Academic Affairs in consultation with (a) the Program Director for the area in which the faculty member provides specialized instruction and (b) an ad-hoc part-time faculty member who serves as peer reviewer. Promotion reviews for Part-time Faculty engaged in research will be conducted by the Associate Dean for Research in consultation with an ad-hoc part-time faculty member who serves as peer reviewer.
3. Part-time Faculty must submit documentation of their performance for the specified period of review by September 1 to the respective Associate Dean (i.e.,

Associate Dean for Academic Affairs for teaching, and Associate Dean for Research for research). Documentation of performance submitted by the Part-time Faculty must include their current curriculum vitae and a letter of application describing how they meet eligibility for promotion. The Dean's office will make available all annual evaluations, all teaching evaluations or equivalent, and records, letters etc. that provide confirmation of service activities for the promotion review.

4. The promotion review of Part-time Faculty engaged in teaching is to include documentation provided by Part-time Faculty and the following items provided by Associate Dean's office: (a) teaching evaluations (or equivalent), (b) all Annual Reviews for the past five years, and (c) the evaluative comments of full-time faculty and Program Directors in which the Part-time Faculty teaches collected by the Associate Dean for Academic Affairs via confidential but not anonymous survey. Materials are kept confidential to the extent permitted by law. The promotion review for Part-time Faculty engaged in research is to include documentation provided by Part-time Faculty and the following items provided by Associate Dean's office: (a) all Annual Reviews for the past five years, (b) any other evaluations conducted during the five years, and (c) the evaluative comments of faculty collected by the Associate Dean for Research. A summary of evaluative comments can be provided to part-time faculty at their request.
5. The respective Associate Dean shall conduct a review of all the submitted and acquired materials as well as consult with director(s) of the program in which the part-time faculty member teaches. The written review and recommendation regarding promotion is to be completed by May 31st or earlier prior to start of the next academic year. The written evaluation shall be provided to the candidate for corrections of fact and returned to the appropriate Associate Dean within 5 days. Following any necessary corrections of fact, the final review is forwarded to the Dean and the candidate.
6. If the candidate disagrees with the Associate Dean's review and recommendation, the candidate shall submit a written rebuttal to the Dean no later than June 15.
7. The Dean will decide if the candidate should be promoted to the next rank. The promotion decision will be made in a timely manner such that any increase in rank will be included in the candidate's next contract.

IV. Search Committee Procedures for Full-Time Faculty Positions

A. Position Announcement

The position announcement shall be developed by the Personnel Committee with input from faculty, Program Director(s), Associate Deans, and the Dean. The written description of the announcement shall be reviewed and approved by the faculty and the Dean before it is distributed to the faculty search committee and made available for posting.

B. Composition of the Search Committee

1. For all full-time faculty positions, the search committee will consist of 5 full-time faculty and 2 alternates who are recruited by the Personnel Committee with consultation from the Dean. Search committees shall prioritize adequate representation based on type of position (i.e., non-tenurable vs. tenure-track or tenured). Search committees may appoint student (non-voting) representation.
2. The Personnel Committee will recruit and nominate 7 faculty search committee members. The names of the 7 nominated faculty will be forwarded to the full faculty for a vote. The Personnel Committee will tabulate the faculty vote. The 5 faculty receiving the highest number of votes will be search committee members and the 2 receiving the least number of votes will become alternates. The alternates will attend search committee meetings and score applicants only if needed or in the event of a conflict of interest. The Personnel Committee will notify all committee members of their appointment and provide them with the approved written description of the announcement.
3. The Personnel Committee will identify one search committee member to organize the committee's initial meeting. In this initial meeting, the Chair of the Search Committee is to be elected from among the faculty members elected to the Search Committee.
4. The Search Committee may invite at least one student representative from one of the school's academic programs (e.g., BSW, MSSW, MSCFT, PhD, DSW) to serve on the committee, as a non-voting member. The student representative may participate in all committee activities, but only faculty will vote on which candidates are invited to campus for a visit and which candidate(s) are recommended to the Dean for faculty appointment.
5. In the event that an additional faculty member is needed to temporarily serve on the search committee (e.g., a committee member must recuse themselves from participating in a candidate interview and the alternates are not available to fill-in), the search committee must identify and vote to temporarily appoint an additional faculty member to the committee, assuming they hold no conflict of interest, to serve in the specific proceedings until the regular committee member or alternate can resume their role.

C. Conflict of Interest & Confidentiality Agreement

1. It is the responsibility of each search committee member to complete a Disclosure of Potential Conflict of Interest Form (**see Appendix A for example**) and sign a Confidentiality Agreement prior to completing any reviews of candidate applications to reveal any real, potential, and/or perceived conflicts of interest.
2. The Personnel Committee will use the [University of Louisville's Conflict of Interest policies](#) to decide on whether a conflict of interest exists and what course of action should be taken (e.g., replace the member). The Faculty and Dean will be notified of the actions taken and reasons for those actions.

3. If any real, potential, and/or perceived conflict of interest arises during the work of the committee, the member who is having the conflict will recuse themselves from the proceedings in question, or at the discretion of the chair, will be removed from the search committee. As matter of protocol, faculty with prior or current responsibility for an applicant's direct work tasks, education/training, supervision/coaching/mentoring should refrain from knowingly sitting on search committees when that applicant(s) is part of the applicant pool.

D. Committee Operations

1. The Search Committee will be responsible for all functions related to the selection of a suitable candidate, including screening, reviewing applications, holding interviews, organizing campus visits, soliciting evaluative feedback, and deliberating to provide the Dean with their recommendation.
2. After the last candidate has made their visit to campus, the Search Committee will obtain feedback from faculty, staff, and students to provide evaluative feedback on the candidates (e.g., survey, written narrative feedback, focus group, etc.). This feedback will be discussed by the committee and utilized in their deliberation. However, all feedback sources must remain identifiable—no anonymous comments will be taken into consideration by the committee.
3. They shall keep organized, written records of their decisions related to candidates, as well as a summary of strengths and weaknesses with reference to the job description. The Search Committee Handbook provides more detailed guidance on how to execute these functions.
4. The Search Committee shall utilize all evaluative feedback, as well as all other information they have at their disposal, in their deliberations as they weigh the merits of each candidate. Based on their assessment and evaluative feedback, they shall hold a vote to list all candidates in rank order (with the preferred candidate as number 1). This list will be provided to the Dean in writing with identified strengths and challenges/weaknesses regarding fit with needs of the school.

E. Statement on Intent on Hiring School Graduates

Although the School will fairly consider recruiting and hiring exceptionally qualified internal candidates, the School generally favors looking outside of our School to increase the diversity of academic backgrounds within the faculty.

V. Policies and Procedures Specific to Professors of Practice and Research Professors (Full-Time Non-tenurable, Term Faculty)

A. Appointment Policies for Term Faculty

1. All full-time non-tenurable term faculty whose primary responsibility is teaching shall be called Professors of Practice. All full-time non-tenurable term faculty whose primary responsibility is research shall be called Research Professors.

2. All Professors of Practice and Research Professors recommended to the Dean for appointment will be identified through the search process specified above and carried out by the faculty.
3. Professors of Practice and Research Professors 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.
4. Professors of Practice and Research Professors are not eligible for sabbaticals or other academic leaves. 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 50 percent of the total number of probationary and tenured appointments in the School.
5. Professors of Practice and Research Professor appointments may be renewed by the University if the Dean determines that the services of the incumbent are needed for the renewal term. All non-probationary faculty require a career review for their contracts to be renewed.
6. Faculty holding term appointments may apply for and be appointed to probationary (tenure-track) appointments should they meet all the qualifications for tenure-track appointments.
7. Participation by Professors of Practice and Research Professors in the School's Governance is specified in the bylaws.
8. The Dean must provide notice that a contract will not be renewed 30 days prior to the expiration of a contract. Non-renewal of term faculty's contract at the end of the appointed term is at the discretion of the Dean and may be done without cause.

B. Appointment Levels for Term Faculty

1. Professors of Practice may be appointed as either (a) Teaching Professor of Practice, (b) Assistant Professor of Practice, (c) Associate Professor of Practice, or (d) Professor of Practice.
2. Research Professors may be appointed as either (a) Assistant Research Professor, (b) Associate Research Professor, or (c) Research Professor.

C. Promotion Eligibility for Term Faculty

1. Promotion Eligibility for Professors of Practice
 - a. Teaching Professor of Practice to Assistant Professor of Practice: Typically, 5 years of experience with the rank of Teaching Professor of Practice is expected; however, exceptional merit (e.g., 5 years of relevant experience prior to Teaching Professor of Practice position) or doctoral degree may justify a shorter period. Candidates for promotion shall demonstrate proficiency in

the areas of teaching and service as required by the Annual Workload Agreement.

- b. Assistant Professor of Practice to Associate Professor of Practice: Typically, 5 years of experience with the rank of Assistant Professor of Practice is expected; however, exceptional merit (e.g., 5-10 years of relevant experience prior to Assistant Professor of Practice position) or doctoral degree may justify a shorter period. Candidates for promotion shall demonstrate proficiency in the areas of teaching, service, and scholarship/creative activity.
 - c. Associate Professor of Practice to Professor of Practice: Typically 5 years of experience at the rank of Associate Professor is expected; exceptional merit may justify a shorter period. Faculty appointed at the rank of Professor of Practice shall hold, as a minimum, an earned doctorate or other appropriate terminal degree in a field of specialization in the academic program to which they are appointed; however, faculty hired prior to 2023 when this stipulation was in place will be legacied in, allowing them to seek promotion without an earned doctorate. This requirement is applicable to faculty hired in 2023 and after. Candidates for the rank of Professor of Practice should demonstrate how their professional efforts have reached a level of distinction and recognition in the areas of teaching, service, and scholarship/creative activity.
 - d. If Teaching Professors of Practice or Assistant Professors of Practice achieve earned doctoral degrees during their appointment but before they have served the full five years of their current term, they may be eligible for consideration for promotion to the Assistant or Associate Professor of Practice ranks.
2. Promotion Eligibility for Research Professors
- a. Assistant Research Professor to Associate Research Professor: A doctoral degree and typically 5 years of experience with the rank of Assistant Research Professor is expected; however, exceptional merit may justify a shorter period. Candidates for promotion shall demonstrate proficiency in the areas of research and service as required by the Annual Workload Agreement.
 - b. Associate Research Professor to Research Professor: Typically 5 years of experience at the rank of Associate Research Professor is expected; however, exceptional merit may justify a shorter period. Candidates for the rank of Research Professor should demonstrate how their professional efforts have reached a level of distinction and recognition in the areas of research and service as required by the Annual Workload Agreement.
 - c. Faculty appointed at the rank of Assistant Research Professor, Associate Research Professor, and Research Professor shall hold, as a minimum, an earned doctorate or other appropriate terminal degree in a field of specialization in the academic program to which they are appointed.

D. Promotion Review Criteria & Documentation for Term Faculty

1. Criteria for Promotion

A decision to recommend promotion for fellow faculty members in the Kent School of Social Work and Family Science is based on the conclusive assessment by the faculty that the candidates have demonstrated their ability to be respected colleagues, per [University of Louisville's Code of Conduct](#). This designation presumes our colleagues' ability to communicate ideas in the classroom or to influence our field through scholarly contribution, and to utilize their skills in service to the university, profession, and community. Furthermore, colleagues granted promotion must have the ability to work collaboratively in the two or three areas of performance as indicated on their workload agreements and to adhere to professional standards and ethics in all their activities. Because the field of Social Work and Family Science both span diverse practices with many service populations, the Kent School believes it important to encourage academic excellence and contribution across this spectrum. Within an overall context that values quality teaching [or research] and service in its many forms, the Kent School seeks to describe some consistent criteria that are to be used for judging satisfactory performance in promotion decisions. Although the successful candidate for promotion must document that they have met all the following criteria listed below, works in progress, grant applications, and exploratory work with a colleague are examples of important activity that may also be considered in the evaluation process to provide a fair and accurate assessment of a faculty member's abilities and efforts. The criteria of performance appear below in **Section VI.F.1 Criteria for Promotion**. The criteria listed below are declared for the purpose of guiding candidates in understanding the standard by which the sum of their work efforts will be measured. Candidates for promotion to Assistant Professor of Practice shall demonstrate proficiency in the areas of teaching or scholarship/creative activity and service, only as required by the Annual Workload Agreement. Candidates for promotion (i.e., to Associate Professor of Practice, Professor of Practice) shall demonstrate proficiency in all areas of teaching, scholarship or creative activity, and service. Candidates for promotion to Associate Research Professor and Research Professor shall demonstrate proficiency in scholarship or creative activity and teaching or service, as indicated by the Annual Workload Agreement.

2. Documentation of Performance

The documentations of performance appear below in **Section VI.F.2 Documentation of Performance**, and examples of documentation are also available in **Appendix C**. The documentation listed below and the examples in Appendix C are declared for the purpose of guiding candidates in understanding the standard by which the sum of their work efforts will be measured. Although the successful candidate must document that they have met the criteria listed in **Section VI.F.1 Criteria for Promotion** required by their appointment, workload agreement, and for promotion, the examples shown are not meant to narrow the scope of work product submitted to document a faculty member's efforts to meet those criteria. It is understood that many professional activities are involved in academic life and that many of these activities, particularly those that fall into the scholarly area, are preparatory in nature. The candidate should document all activities directed toward meeting the criteria. The Personnel Committee will consider appropriate for review those activities undertaken that the candidate

considers applicable toward promotion or periodic career review. Specific examples of documented achievement for promotion appear in the following sections of this document. These examples shall be used to direct the candidate in the preparation of materials and the committee in deliberations but should not be construed to state that meeting minimum documentation will ensure a positive review. Examples of achievement are listed in separate and distinct categories. When an activity could fit into more than one category, it is the candidate's responsibility to assign that activity in the most appropriate category and to reference that activity in other appropriate categories (**See Appendix C; For formatting of materials, see Appendix D**).

3. Annual Workload Agreements

The Dean's office will provide copies of all Annual Reviews and Workload Agreements (with salary information removed) to the Personnel Committee.

E. Promotion Review Procedures for Term Faculty

The Dean's office shall review guidelines for promotion with eligible Term Faculty during their annual performance review to encourage faculty to establish continuity between their performance and the standards for promotion. It is incumbent upon faculty to independently review the criteria for promotion and to collect the necessary materials that demonstrate their performance and contributions in teaching or scholarship and service. See Section V.D.1 for the components by which faculty will be evaluated based on rank and position type.

1. Notification of Intent

- a. The faculty member must notify the Dean's office and the personnel committee of their intention to seek promotion. Notification of one's intention to seek promotion must be made on or before June 1st preceding the fall semester of the review year. The Dean's office shall verify the term faculty member's eligibility by reviewing/cross checking its list of all term faculty as to their year of eligibility for promotion.
- b. After verifying eligibility, the Dean has the responsibility to notify the term faculty and the Personnel Committee that the promotion review will be conducted. The Chair of the Personnel Committee will work with the faculty member to prepare the materials and to meet timelines for the review.

2. External Reviews

- a. External reviews will be used only for term faculty promotions that include components related to scholarship and creative activity. External reviews will focus on the scholarship and creative activity materials.
- b. Candidates submit five names, with addresses, emails, and phone numbers of external faculty whom they consider qualified to evaluate submitted materials. External reviewers for teaching expertise should be full-time faculty at other universities or other local, state, national, or international professionals familiar with the candidate's work or with the type of clinical activity in which the candidate is engaged. External reviewers for research expertise should be recognized experts in the field at or above the rank to

which the candidate seeks promotion. **The candidate should not discuss the review process with any potential reviewer. The Personnel Committee will initiate all contact with reviewers.** The list of names should be submitted to the Chair of the Personnel Committee no later than June 15.

- c. With each potential reviewer, candidates are to provide a brief narrative that describe the reviewer's area of expertise and disclose any prior relationship with the reviewer. Applicants must limit their list to individuals who are unbiased, either positively or negatively. Example: A recognized expert in the field is **unacceptable** if that person is or has been a collaborator with the applicant on professional work.
 - d. The Committee will select three individuals from the list submitted and formally request the reviews by letter no later than July 15 to be returned by the reviewers no later than September 15. **Appendix F** includes templates for email requesting an external review, template for email from the Dean thanking reviewer for service, template for email from Personnel Committee with instructions for review, and outline of promotion criteria to facilitate external review. Should the initial list of potential reviewers be exhausted prior to obtaining 3 reviewers, the Personnel Committee will request additional names of potential reviewers from the candidate until 3 have agreed to review.
 - e. If for any reason the Committee does not receive names from the faculty member by the deadline, the Chair of the Committee, in consultation with the Dean, will select the reviewers based on faculty member's content area and expertise and request their participation.
 - f. The Committee is ultimately responsible for selecting the materials to be sent to the reviewers, but the materials typically should include a summary and index of teaching materials or publications, a representative sample of the candidate's teaching materials or publications (typically three or four), and the candidate's curriculum vitae. Although the committee has this responsibility, it is important to involve the candidate in this process and, whenever possible, include those publications they consider important. The formal letter sent to the external reviewers should indicate what specifically is requested of them. To acquaint extramural evaluators with the institutional context of the evaluation, the letter requesting extramural evaluation should enclose a copy of the promotion criteria (see **Appendix F**).
 - g. The candidate should be given a copy of each external report as it is received **with identifying information redacted**. In the case of a negative report, the candidate has three days to write a rebuttal to the Chair of the Personnel Committee.
3. Date for Submission of Files
 - a. The candidate is to submit their materials to the Personnel Committee in an approved format (e.g., Cardbox, Interfolio) by September 1.

- b. The materials (e.g., for Interfolio) should not be formally submitted to the university until the faculty meeting where promotion is discussed to allow for updating the official university file prior to final submission.
4. Review by the Personnel Committee
- a. The Personnel Committee, or a duly appointed subcommittee of the Personnel Committee, shall conduct a thorough review of the materials, including external reviewer reports and faculty surveys, and make a written recommendation regarding promotion.
 - b. The committee will initiate their review process by September 1. They will request all faculty to comment on the candidate after reviewing the candidate's materials and provide those comments to the committee by October 1.
 - c. When the workload for the faculty seeking promotion includes teaching, a member of the personnel committee completes a teaching observation and gathers student feedback as specified in **Appendix B**. This personnel committee member meets with the term faculty member and provides them a summary of the teaching evaluation.
 - d. When the committee's review process has been completed, the written opinion of the committee shall be presented to the faculty member and the Dean by October 15.
 - e. Should there be a rebuttal to the committee's report, the candidate must be given 7 days following delivery of the report to write the rebuttal which will then be forwarded to the Dean.
 - f. The committee report (and rebuttal if prepared) will be forwarded to the Dean upon receipt by the committee.
 - g. The committee report (and rebuttal if prepared) will be sent to all faculty who will be discussing and acting on the evaluation which will occur a minimum of 7 days prior to the November faculty meeting.
5. Faculty Discussion, Faculty Vote and Dean's Submission
- a. All full-time faculty will then meet during the November faculty meeting (without the candidate present) to formally discuss the candidate's qualifications for promotion and to act on the committee's recommendation. The vote will be taken confidentially (in person or via online survey) and counted by the Personnel Committee Chair.
 - b. The Personnel Committee Chair shall inform the candidate within 24 hours if the vote was positive or negative and forward the vote total to the Dean.
 - c. The Dean will make a recommendation and provide that written recommendation to the candidate. In the case of a negative recommendation, the candidate will be given a maximum of 3 working days to

submit a rebuttal to the Dean before the Dean sends the recommendation to the Provost. If the recommendation is negative regarding granting promotion, the Dean may recommend that the contract not be renewed.

- d. The Dean must review each personnel recommendation with the candidate. Candidates shall sign acknowledgements they have reviewed all the materials and recommendations included in the evaluation file prior to the file leaving the School.
- e. If the candidate disagrees with any recommendation, the candidate has a maximum of 3 working days to add their written rebuttals to the evaluation file. Appeal of any decision will be covered by policy stated in The Redbook Section 4.2.2. The Dean's recommendation, along with the other materials accumulated in the personnel file shall go forward to the Graduate Dean and then to the Provost in accordance with the timelines established by the Provost. A copy of the Dean's recommendation to the Provost will be given to the Chair of the Personnel Committee and the candidate.

VI. Policies and Procedures Specific to Probationary (Tenure-Track) and Tenured Faculty

A. Appointment Policies for Probationary (Tenure-Track) and Tenured Faculty

1. Tenure-Track, Probationary appointments shall be full-time without tenure. No probationary appointment to the University shall extend beyond the period when tenure would normally be granted.
2. Tenured appointments shall be full-time with tenure.
3. A probationary or tenured faculty recommended to the Dean for appointment will be identified through a search process carried out by the faculty.

B. Appointment Levels for Probationary (Tenure-Track) and Tenured Faculty

1. 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.
2. Professors: Professors shall be awarded tenure if employed subsequent to the initial probationary appointment.

C. Tenure Appointments for Probationary (Tenure-Track) and Tenured Faculty

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 The Redbook Sec. 4.5.3. Tenure is granted in an academic unit based upon The Redbook Sec. 3.1.1 in accordance with the procedures established in The Redbook Sec.4.2.2.
2. 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 Executive Vice President and University Provost and agreed to in writing by the nominee before the appointment is made by the Board of Trustees.

3. Length of Probationary Period: All probationary faculty who have had seven years of full-time service counted in a tenurable faculty position, if reemployed full-time, shall be granted tenure.
4. Leave of Absence: One year spent on an officially approved leave of absence may be counted toward the seven years of full-time service necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure.
5. Extension of 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 (e.g., personal illness, the birth or adoption of a child, or care of an ill family member) may request an extension of the probationary period for no less than six months and no more than one year. A second extension may be granted for a second extenuating circumstance. An extension shall not be granted more than two times within the probationary period of a faculty member. 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 Executive Vice President and University Provost.
6. Prior Service: Previous full-time service with the rank of Instructor or higher or comparable status in institutions of higher learning may be counted toward the acquisition of tenure.
7. Early Tenure: 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, once originated, shall proceed as indicated in The Redbook Sec. 4.2.2.H unless the faculty member under review requests its withdrawal.

D. Promotion Eligibility for Probationary (Tenure-Track) and Tenured Faculty

1. Assistant Professor to Associate Professor: Typically, 5 years of experience at the rank of Assistant Professor is expected; however, exceptional merit may justify a shorter period. Candidates for promotion shall demonstrate proficiency in the areas of teaching, service and research as required by the Annual Workload Agreement.
2. Associate Professor to Professor: Typically, 5 years of experience at the rank of Associate Professor is expected; however, exceptional merit may justify a shorter period. Candidates for the rank of Professor should demonstrate how their professional efforts have reached a level of distinction and recognition in their field in teaching, service and research as required by the Annual Workload Agreement.

E. Mid-Promotion Review Procedures for Probationary (Tenure-Track) Faculty

1. **Rationale for Mid-Promotion Review:** All Probationary (Tenure-Track) Faculty shall receive a mid-promotion review. Mid-promotion reviews are intended to support faculty through the promotion process by providing feedback regarding their performance in the areas of teaching, research and service based upon which of these areas are included in the contract and evaluated in annual reviews. During the mid-promotion review, faculty should demonstrate their progress by submitting documentation consistent with that described in sections **VI.F.1 Criteria for Promotion**, regarding the promotion of faculty. Descriptions and examples of documentation and activities appear in section **VI.F.2 Documentation of Performance**. The review will be conducted following the timeline and procedures (dates will vary to reflect spring semester) described in **VI.G Promotion Review Procedures for Probationary (Tenure-Track) and Tenured Faculty**. External reviews and faculty votes are not utilized for mid-promotion reviews. The candidate shall collaborate with the Chair of the Personnel Committee to coordinate the submission of materials.
2. Timing for Mid-Promotion Review
 - a. If there is no prior effort to credit toward the candidate's promotion, a mid-promotion review shall be conducted in the second half of the third year of service.
 - b. If the candidate is granted one year of credit, the mid-promotion review shall be conducted in the second half of the second year. If the candidate is granted two years of credit, the mid-promotion review shall be conducted in the second half of the first year. For candidates granted three years of credit, the hiring process serves as the mid-promotion review.
 - c. Prior effort as credit toward promotion is negotiated with the Dean and specified in the candidate's contract at time of appointment.
3. Review Process & Evaluation Criteria
 - a. The candidate shall contact the Chair of the Personnel Committee to coordinate the submission of materials documenting teaching, service, and scholarly activity and timeline for submission. The submitted materials are to address the teaching, service, and research criteria for tenure and promotion and be in accordance with the guidelines for submission and documentation as specified in **VI.F.1 Criteria for Promotion** and **VI.F.2 Documentation of Performance**. Examples of documentation are also available in **Appendix C**.
 - b. All the School's probationary and tenured full-time faculty members are asked to review the submitted materials and confidentially comment on the faculty member's teaching, service, and research activity and accomplishments. Examples of de-identified comments related to teaching, research, and service from faculty are included in the Personnel Committee's report.
 - c. A member of the personnel committee completes a teaching observation and gathers student feedback as specified in **Appendix B**. This personnel committee member meets with probationary (tenure-track) faculty member

and provides them a summary of the teaching evaluation.

- d. Using the school's established tenure and promotion criteria, the Personnel committee reviews all gathered information and determines whether the probationary faculty member is on track to demonstrate proficiency in teaching, service, and research when they undergo tenure and promotion. No external evaluation of scholarly or creative activity is required.
- e. The pre-tenure review process ends with the presentation of the Personnel Committee's report to the probationary and tenured faculty members. During this discussion, notes are taken of comments made by faculty members with no identifying information recorded. No vote is taken in pre-tenure reviews. The pre-tenure review report and notes of comments made during faculty discussion are then forwarded to the Dean who meets with the probationary faculty under review for planning and discussion.

F. Promotion Review Criteria & Documentation for Probationary (Tenure-Track) and Tenured Faculty

1. Criteria for Tenure

A decision to recommend tenure for fellow faculty members in the Kent School of Social Work and Family Science is based on the conclusive assessment by the faculty that the candidates have demonstrated their ability to be respected scholars and colleagues. This designation presumes our colleagues' ability to communicate ideas in the classroom, to utilize their skills in service to the university, profession, and community, and to influence our field through scholarly contribution. Furthermore, colleagues granted tenure must have the ability to work collaboratively in all three areas of performance and to adhere to professional standards and ethics in all their activities. Because the fields of Social Work and Family Science both span diverse practices with many service populations, the Kent School believes it important to encourage academic excellence and contribution across this spectrum. Within an overall context that values quality teaching, service, and scholarly activity in its many forms, the Kent School seeks to describe some consistent criteria that are to be used for judging satisfactory performance in tenure decisions. Although the successful candidate for tenure must document that they have met all the following criteria listed below, works in progress, grant applications, and exploratory work with a colleague are examples of important activity that will be considered in the evaluation process to provide a fair and accurate assessment of a faculty member's abilities and efforts.

Criteria for Promotion

The criteria and documentation of performance appear below, and examples of documentation are also available in **Appendix C**. The criteria and documentation listed below and the examples in **Appendix C** are declared for the purpose of guiding candidates in understanding the standard by which the sum of their work efforts will be measured.

a. Teaching Criteria for Promotion

- i. Faculty members should be able to demonstrate their ability to engage students in the exchange of ideas and consider the diversity of learning styles students use to reach their best performance.
- ii. Faculty members should demonstrate their ability to work collaboratively on the administrative tasks involved in teaching to include continued curriculum development, focused course management, and effective evaluation of student performance.
- iii. Faculty members should demonstrate their interest and ability in optimizing student / teacher relations with particular attention given to advising and mentoring students.
- iv. Faculty members should demonstrate their efforts and accomplishments in utilizing creative instructional techniques with particular attention to the use of technological innovations where appropriate.

b. Service Criteria for Promotion

- i. Faculty members should demonstrate a record of contributing time, talent, and leadership to the School and university governance.
- ii. Faculty members should be viewed by their school and university colleagues as dedicated, collaborative, and helpful in the tasks of academic governance.
- iii. Faculty members should demonstrate a record of professional service to the needs of the community on a regular and recognized basis.
- iv. Faculty members should have professional affiliation and work to improve the profession in ways appropriate to their skills and interests.

c. Scholarship Criteria for Promotion

- i. Faculty members should be able to demonstrate a consistent level of scholarly effort that includes publication of their work.
- ii. Although the School encourages alternate venues for professional contribution, and scholarly work covering a wide array of activities is eligible for review in the tenure decision, faculty members should submit a significant portion of their work for peer review and demonstrate a record of favorable review.
- iii. Although it is understood that faculty members develop their own interests, abilities, and unique projects, it is also expected that faculty may work on collaborative, team-based, and/or interdisciplinary teams to complete scholarly projects of mutual or group interest.

- iv. A faculty member's scholarly work should be conducted in an ethical and professional manner.

2. Documentation of Performance

Although the successful candidate must document that they have met the criteria listed in **Section VI.F.1 Criteria for Promotion** required by their appointment, workload agreement, and for tenure, the examples shown below are not meant to narrow the scope of work product submitted to document a faculty member's efforts to meet those criteria. It is understood that many professional activities are involved in academic life and that many of these activities, particularly those that fall into the scholarly area, are preparatory in nature. The candidate should document all activities directed toward meeting the criteria. The Personnel Committee will consider appropriate for review those activities undertaken that the candidate considers applicable toward promotion, tenure, or periodic career review. Specific examples of documented achievement for mid-promotion, promotion, and tenure decisions appear in the following sections of this document. These examples shall be used to direct the candidate in the preparation of materials and the committee in deliberations but should not be construed to state that meeting minimum documentation will ensure a positive review. Examples of achievement are listed in separate and distinct categories. When an activity could fit into more than one category, it is the candidate's responsibility to assign that activity in the most appropriate category and to reference that activity in other appropriate categories (**See Appendix C; For formatting of materials, see Appendix D**).

a. Teaching Documentation for Promotion

- i. Teaching is the guidance of learners in the acquisition of knowledge and skills and the development of attitudes and values. Teaching may include but is not limited to classroom, laboratory, or clinical instruction, field supervision, thesis and dissertation supervision, essay supervision in a professional component, instructional visits, the various forms of individualized instruction, student advising, counseling, program or project development, and course development and refinement. Teaching documentation may also include innovations in use of technology, such as web sites and use of the Internet.
- ii. Minimum documentation entails: student course evaluations for classroom, laboratory, or clinical instruction and/or letters, theses, term projects and field supervision, etc., which critique or offer evidence pertinent to one-on-one teaching (i.e., master thesis, independent study, clinical supervision, etc.). The examples listed in each category are samples of the types of activities that may be documented. These examples are meant to guide candidates but should not limit the materials candidates choose to submit for evaluation. **The candidate must not solicit letters from students currently enrolled in Kent School of Social Work and Family Science and any of its programs.** (See **Appendix C** for examples.)

b. Service Documentation for Promotion

- i. The service component of faculty members efforts will be evaluated to the extent that the service contributes to the advancement of the School, University, Community or Profession.
 - ii. Operation of the University involves both long-term and day-to-day activities including membership on school or university committees, informal student contact or counseling, participation in learned professional societies, administrative tasks, and philanthropic contributions to the community. (See **Appendix C** for examples.)
- c. Scholarship Documentation
- i. Scholarly activity is the act of knowledge creation or integration through the publication or dissemination of original or innovative scholarly work. Evidence of the scholarship of discovery may include copies of publications, professional papers, videotapes, technical reports and/or technical products such as CD's or software.
 - ii. Priority will be given to peer-reviewed work and the documented impact and significance of the scholarship. Research or publications in progress should be submitted and their stage of progress documented. (See **Appendix C** for examples.)
- d. Annual Workload Agreements
The Dean's office will provide copies of all Annual Reviews and Workload Agreements (with salary information removed) to the Personnel Committee.

G. Promotion Review Procedures for Probationary (Tenure-Track) and Tenured Faculty

The Dean's office shall review guidelines for promotion with eligible Probationary Faculty during their annual performance review to encourage faculty to establish continuity between their performance and the standards for promotion. It is incumbent upon faculty to independently review the criteria for promotion to collect the necessary materials that demonstrate their performance and contributions in teaching and service and scholarship.

1. Notification of Intent

- a. The faculty member must notify the Dean's office and the personnel committee of their intention to seek promotion. Notification of one's intention to seek promotion must be made on or before June 1st preceding the fall semester of the review year. The Dean's office shall verify the probationary faculty member's eligibility by reviewing/cross checking its list of all probationary faculty as to their year of eligibility for promotion.
- b. After verifying eligibility, the Dean has the responsibility to notify the faculty member and the Personnel Committee that the promotion review will be conducted. The Chair of the Personnel Committee will work with the faculty member to prepare the materials and to meet timelines for the review.

2. External Reviews

- a. External review procedures will be used for all promotion with tenure decisions for faculty in tenure-track positions.
- b. Candidates submit five names, with addresses, emails, and phone numbers of external faculty whom they consider qualified to evaluate submitted materials. External reviewers should be tenured faculty at other universities, at or above the rank to which the candidate seeks promotion. **The candidate should not discuss the review process with any potential reviewer. The Personnel Committee will initiate all contact with reviewers.** The list of names should be submitted to the Chair of the Personnel Committee no later than June 15.
- c. With each potential reviewer, candidates are to provide a brief narrative that describe the reviewer's area of expertise and disclose any prior relationship with the reviewer. Applicants must limit their list to individuals who are unbiased, either positively or negatively. *Example:* A recognized expert in the field is unacceptable if that person is or has been a collaborator with the applicant on professional work.
- d. The Committee will select three individuals from the list submitted and formally request the reviews by letter no later than July 15 to be returned by the reviewers no later than September 15. **Appendix F** includes templates for email requesting an external review, template for email from the Dean thanking reviewer for service, template for email from Personnel Committee with instructions for review, and outline of tenure criteria to facilitate external review. Should the initial list of potential reviewers be exhausted prior to obtaining 3 reviewers, the Personnel Committee will request additional names of potential reviewers from the candidate until 3 have agreed to review.
- e. If for any reason the Committee does not receive names from the faculty member by the deadline, the Chair of the Committee, in consultation with the Dean, will select the reviewers based on faculty member's content area and expertise and request their participation. The candidates retain the right to challenge any evaluator for cause.
- f. The Committee is ultimately responsible for selecting the materials to be sent to the reviewers, but the materials typically should include a summary and index of publications and those in progress, a representative sample of the candidate's publications (typically three or four), and the curriculum vitae. Although the committee has this responsibility, it is important to involve the candidate in this process and, whenever possible, include those publications they consider important. The formal letter sent to the external reviewers should indicate what specifically is requested of them. To acquaint extramural evaluators with the institutional context of the evaluation, the letter requesting extramural evaluation should enclose a copy of the tenure criteria (see **Appendix F**), and a list of the school's criteria for granting tenure.
- g. The candidate should be given a copy of each external report as it is received **with identifying information redacted**. In the case of a negative report, the

candidate must be allowed three days to write a rebuttal to the Chair of the Personnel Committee.

3. Date for Submission of Files

- a. The candidate is to submit their materials to the Personnel Committee in an approved format (e.g., Cardbox, Interfolio) by September 1.
- b. The materials (e.g., for Interfolio) should not be formally submitted to the university until the faculty meeting where promotion is discussed to allow for updating the official university file prior to final submission.

4. Review by the Personnel Committee

- a. The Personnel Committee, or a duly appointed subcommittee of the Personnel Committee, shall conduct a thorough review of the materials, including external reviewer reports and faculty surveys, and make a written recommendation regarding promotion and/or tenure.
- b. The committee will initiate their review process by September 1. They will request all faculty to comment on the candidate after reviewing the candidate's materials and provide those comments to the committee by October 1.
- c. When the committee's review process has been completed, the written opinion of the committee shall be presented to the faculty member and the Dean by October 15.
- d. Should there be a rebuttal to the committee's report, the candidate must be given 7 days following delivery of the report to write the rebuttal which will then be forwarded to the Dean.
- e. The committee report (and rebuttal if prepared) will be forwarded to the Dean upon receipt by the committee.
- f. The committee report (and rebuttal if prepared) will be sent to all faculty who will be discussing and acting on the evaluation which will occur a minimum of 7 days prior to the November faculty meeting.

5. Faculty Discussion, Faculty Vote, and Dean's Submission

- a. Consistent with the Kent School Bylaws, the Tenured and Probationary faculty will then meet during a fall-term faculty meeting (without the candidate present) to formally discuss the candidate's qualifications for tenure and promotion and to act on the committee's recommendation. Term Faculty may participate in discussion but shall not participate in the tenure vote of a probationary faculty candidate or the promotion of a tenured faculty to Full Professor. The vote will be taken confidentially (in person or via online survey) and counted by the Personnel Committee Chair.
- b. The Personnel Committee Chair shall inform the candidate within 24 hours if

the vote was positive or negative and forward the vote total to the Dean.

- c. The Dean will make a recommendation and provide that written recommendation to the candidate. In the case of a negative recommendation, the candidate will be given a maximum of 3 working days to submit a rebuttal to the Dean before the Dean sends the recommendation to the Provost. If the recommendation is negative regarding granting tenure, the Dean may recommend that the contract not be renewed.
- d. The Dean must review each personnel recommendation with the candidate. Candidates shall sign acknowledgements they have reviewed all the materials and recommendations included in the evaluation file prior to the file leaving the School.
- e. If the candidate disagrees with any recommendation, the candidate has a maximum of 3 working days to add their written rebuttals to the evaluation file. Appeal of any decision will be covered by policy stated in The Redbook Section 4.2.2. The Dean's recommendation, along with the other materials accumulated in the personnel file shall go forward to the Graduate Dean and then to the Provost in accordance with the timelines established by the Provost. A copy of the Dean's recommendation to the Provost will be given to the Chair of the Personnel Committee and the candidate.

VII. Annual Reviews for Full-Time (Term, Probationary, Tenured) Faculty

A. Purpose

The purpose of annual review is the enhancement of faculty performance. In keeping with university policy, these guidelines shall serve as a framework for annual reviews. Performance evaluations shall be based on the individual's accomplishments and contributions in helping the School meet its specific goals and objectives in the prior calendar year as specified in the Annual Workload Agreement (see section B below). All annual reviews shall become part of the record to be used in pre-tenure, promotion, tenure, and periodic career reviews. The Dean's office must collect and preserve annual reviews for future personnel reviews.

B. Annual Review Report & Annual Workload Agreement

1. The Dean is responsible for notifying faculty of the date each year that materials are due for review as part of the annual review process. This date should allow a minimum of one month notice for preparation of the report and the gathering of materials, as well as allow ample time for the appeal process if necessary. The Annual Review period is the calendar year.
2. Each faculty member will submit to the Dean an Annual Review Report (instructions for format provided by the Dean), including any supplemental information and documentation the faculty member considers relevant. The Dean will meet with faculty members to discuss their activities and accomplishments over the past calendar year. A summary report of annual review outcomes for full-time faculty must be submitted to the Personnel committee for peer review.

3. In addition to submitting the annual review report that summarizes the past year's efforts, the faculty member will develop with the Dean the next year's Annual Workload Agreement for approval by the Dean. When circumstances require significant changes in this work plan, the faculty member shall file an amended plan (including an explanation of the necessary changes) for the Dean's approval.
4. If funds for merit raises are available, the Dean will make a salary decision referenced against the faculty member's annual workload agreement and the criteria listed elsewhere in this document regarding promotion. The decision and its rationale will be communicated in writing to the faculty member and retained for future promotion, and review decisions.

C. Salary Recommendation Based Upon Level of Performance

1. If funds for merit raises are available, salary increases are based on the Annual Review and awarded on a four-level system.
 - a. Level 0, Unsatisfactory. This level receives no salary increase. It is to be used when the overall performance of the faculty member does not meet qualifications to be considered minimally satisfactory, or when the faculty member fails to submit any material to the Dean. A decision by the Dean for a zero-salary increase must be approved by the Provost and shall include the 1) reasons for the zero-salary increase, and 2) specific expectations for improving performance where it is considered unsatisfactory.
 - b. Level I, Satisfactory, with Areas of Concerns. This level receives annual review salary raises equal to one-half the percentage available that particular year. This level is to indicate that while minimally satisfactory job performance was achieved, there were concerns regarding the level of progress in some areas. A decision by the Dean for a Level 1 salary increase shall include the reasons for the decision, and specific expectations for overcoming the concerns identified.
 - c. Level II, Commendable. This level receives annual review salary raises equal to the percentage available that particular year. This level is to indicate that overall performance was commendable in that all areas of work performance were satisfactory or above based on the workload agreement. A decision by the Dean for a Level II salary increase shall include the reasons for the decision.
 - d. Level III, Exemplary. This level receives annual review salary raises equal to the percentage available for that particular year as well as a share of the monies not used due to Level 0 or Level 1 determinations. The annual amount is dependent on the number of faculty attaining Level III and the amount of money unused in that particular year. This level is to indicate that job performance was clearly exemplary in achieving the goals and mission of the School and overall performance was exemplary based on the workload agreement. A decision by the Dean for a Level III salary increase shall include the reasons for the decision.

2. The Dean's office must collect and preserve annual reviews for future personnel reviews.

D. Contesting the Annual Review Decision

1. Should a faculty member wish to contest the annual review evaluation by the Dean, the faculty member has recourse to appeal to the Personnel Committee. A written request for reconsideration must be sent to the Dean with a copy to the Chair of the Personnel Committee, within two weeks of receiving the written outcome of the Annual Review from the Dean.
2. If a request for reconsideration is submitted, the Personnel Committee will conduct an independent review and submit its written recommendations to the Dean, with a copy to the faculty member, within one month of receiving the request. This appeal review by the Personnel Committee may include discussions with the Dean and/or the faculty member regarding criteria and rationale for the contested decision.

E. Deans Annual Report on Faculty Salary and Promotions

In the event that salary changes take place, an annual report shall be made by the Dean to the faculty and the Provost which contains the frequency distribution of the percentage salary increase received by all faculty in the unit, the number of faculty receiving salary adjustments for other reasons and a description of the evaluation system used to arrive at such salary increases. Individual faculty will not be identified in this annual report.

VIII. Periodic Reviews for Full-Time Faculty

- A. All Full-Time Faculty shall undergo periodic career reviews to evaluate their contributions to the University mission. Tenured faculty members shall undergo a career review every five years. If the faculty member has had a recent tenure or successful promotion review, that review shall be considered the required career review, with the next review being scheduled five years from that date. A periodic career review of term faculty members shall be part of their renewal process; no additional review is required.
- B. The career review five-year period will begin with the year following attainment of tenure or in the year following attainment of the rank of Professor. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year. A promotion review shall replace career review for the period in which the promotion occurs. The Dean shall report the results of all such reviews annually to the Provost.
- C. The Personnel Committee has two review levels (Basic and Full) of available for Periodic Career Review.
 1. Basic Review entails a review of the past 5 years of Annual Reviews and is conducted for all periodic annual reviews. The Annual Reviews for each faculty member eligible for Periodic Career Review shall be made available to the Personnel Committee as part of the Periodic Career Review process in accordance with The Redbook Section 4.2.4. Faculty members under review will

be considered proficient and satisfactory in their career performance if (a) they had not received a Level 0 within the five year time frame, and (b) they received no more than one Level I, and (c) their Level I year was not the year immediately prior to the scheduled Periodic Career Review.

2. Full Review entails a more detailed review that includes additional documentation and materials from the faculty member. This review takes place if a faculty member has more than one year in which their Annual Review resulted in a Level I or lower, or if their only Level I fell in the year immediately prior to the scheduled review. The minimum materials requested are an updated Curriculum Vitae demonstrating evidence of rank-appropriate proficiency in scholarship, teaching, and service, and a letter to the Personnel Committee describing and summarizing (a) the faculty member's work over the past 5 years, (b) their intentions or projections of activities for the next 5 years, and (c) an explanation of how they have responded to past areas of concern. See **Appendix E** for guidelines. The candidate will select and submit materials that they believe best illustrate their proficient and satisfactory performance. The Personnel Committee may also request additional information and documentation.
- D. External reviews are not required for Periodic Review although the faculty member, the Personnel Committee or the Dean may request them when deemed useful. Such requests should not be routine but based upon the need to provide outside expertise to evaluate or inform a particular question.
- E. Tenured faculty members evaluated by the Personnel Committee as not meeting performance expectations for their rank shall prepare with the Dean a development plan within 30 days. The faculty member then has one year (or longer with the consent of the Dean) to complete the plan. After the completion of the plan, the faculty member has a year to demonstrate satisfactory performance. At the end of this period, the faculty member shall undergo a second special career review using the same process described for periodic career review. If the faculty member is again evaluated as not meeting performance expectations, the Dean shall take appropriate disciplinary action.
- F. When merit raises have taken place during this period of review, and if a faculty member believes they have outstanding performance records and that their salaries have not kept pace with this record, they may specifically request the Personnel Committee to conduct a Full Review of their materials. The Personnel Committee, upon favorable review, may recommend to the Dean that a special salary merit increase be given to the faculty member to reward career demonstrations of professional excellence.
- G. All Redbook rights of due process and appeal for probationary or tenured faculty shall apply in these reviews.

IX. Policies and Procedures Specific to Emeritus Faculty

- A. The honorary title of Emeritus Faculty may be conferred upon retired faculty if requested by the School faculty and the Dean, and if approved by the President and Board of Trustees. The University community can benefit greatly from Emeritus Faculty presence on campus and continued professional activities, including

teaching, research, and service. Therefore, Emeritus Faculty should be provided library and email privileges and support facilities. They may also assist with undergraduate and graduate research projects, and they may undertake primary supervision of new student research projects with the approval of the Dean.

- B. The request of Emeritus Faculty status to the President and Board of Trustees requires a nomination by a Full-time Faculty member or the Dean, a recommendation by the Personnel Committee, and a majority vote by the School's Full Time Faculty to confer Emeritus Faculty status.

X. Policies and Procedures Specific to Gratis Faculty

A. Appointment Policies for Gratis Faculty

1. Evaluation of a candidate's qualifications for appointment as Gratis Faculty will consider the candidate's commitment to the School's teaching, research, or service missions, maintenance of professional competency, and maintenance of a positive personal profile.
2. All Gratis Faculty must adhere to the standards set forth in ethics and professionalism documents and statements issued by the School and the University.
3. Gratis Faculty appointments are non-tenurable appointments and do not carry voting privileges.
4. The individual who wishes to be appointed or reappointed as a Gratis Faculty member in the School must meet the following criteria:
 - a. The candidate must be assigned and commit to actively participate by contributing to the teaching, research, or service mission of the School with students and faculty. Examples of contributions include (a) serving as a faculty liaison for students in their field internships, (b) serving as clinical/practicum supervisor for students; (c) providing lectures and instruction to students as well as instructional/curriculum supports to faculty; (d) participation in the school's educational, service, and teaching activities; (e) mentoring or advising activities as appropriate; and (f) collaborating/serving as member of research team.
 - b. The candidate must maintain the appropriate credentials/licensures in good standing where appropriate.
 - c. Maintaining a personal and professional profile that positively reflects on the University of Louisville Kent School of Social Work and Family Science.

B. Appointment Levels for Gratis Faculty

Gratis Faculty appointments may be at one of four ranks: Instructor (Gratis), Assistant Professor (Gratis), Associate Professor (Gratis), and Professor (Gratis).

C. Appointment Process for Gratis Faculty

1. To be considered for appointment as Gratis Faculty, candidates must submit the following:
 - a. the candidate's current curriculum vitae;
 - b. a letter from the candidate summarizing their education, experience, reason for application, how they will contribute to the School's teaching, service, and/or research mission, and the rank at which they are requesting to be appointed;
 - c. a letter of recommendation from a faculty sponsor stating how the candidate will contribute to the teaching, service and/or research missions of the School, and where appropriate, the University.
 - d. One letter of reference from an external source knowledgeable of the candidate's qualifications, work experience/performance, and expertise if the request is for appointment at the instructor level. If the request is for appointment at an advanced rank (i.e., assistant professor, associate professor, or professor), three letters of reference are required attesting to the candidate's qualifications, work experience/performance, and expertise.
2. The application will be reviewed by the Kent School Personnel Committee. If approved, the Personnel Committee will make a positive recommendation to the Faculty.
3. The faculty will vote on the appointment. To move forward, a majority of the faculty must vote to support the recommendation for appointment by Personnel Committee.
4. If approved by faculty, the Dean will review materials and also submit a recommendation for Gratis Faculty appointment to the Provost.
5. The Board of Trustees will then vote whether to affirm the appointment.

D. Appointment Lengths & Re-Appointment for Gratis Faculty

1. The initial term of appointment will be 3 years. It is the responsibility of the Gratis Faculty member if they desire, to initiate reappointment six months prior to the expiration date of the gratis faculty member's current appointment to ensure continuity of appointment.
2. Application for reappointments shall be submitted to the Dean's office. Applications should include (a) an updated curriculum vitae; (b) a letter from the faculty member summarizing their previous contributions to meet the teaching, research, and service mission of the School; and (c) a letter of recommendation from the gratis faculty member's faculty sponsor supporting their reappointment.
3. After review by the Personnel Committee and vote by the faculty, re-appointment as Gratis Faculty can be made by the Dean for the same maximum terms delineated above for initial appointments.

E. Promotion Eligibility and Review Procedures for Gratis Faculty

1. Promotions are based on demonstrated and documented contributions to the School's mission. Application for promotion must be made by the faculty member to the Dean on or before July 1 of the year they wish to be considered. The following are required:
 - a. Current Curriculum Vitae
 - b. A letter requesting promotion from the candidate summarizing their previous contributions to the school in teaching, service and/or research mission.
 - c. The rank at which they are requesting to be appointed.
 - d. A letter of recommendation from the faculty sponsor who is knowledgeable of the candidate's gratis work performance supporting the promotion.
2. Promotion procedures follow the same review process as the initial appointment. A review of the application is conducted by the Personnel Committee and a positive recommendation made to the faculty. Promotion then requires a positive majority vote by the faculty supporting the recommendation of the Personnel Committee, recommendation from the Dean to the Provost for a change in rank, and a positive vote by the Board of Trustees.

F. Termination of Appointment for Gratis Faculty

1. Non-renewal at the end of the appointed term is at the discretion of the faculty or the Dean and may be done without cause.
2. Gratis Faculty must adhere to all School policies including the Policy on Professional Conduct. If the School policies are not followed gratis contracts can be terminated prior to the conclusion of the contract. Early termination of the contract requires communication with the gratis faculty member regarding the reasons for termination, a letter from the faculty member sponsoring the gratis faculty requesting the termination, and approval by the Dean.

XI. Policies and Procedures for Honorary and Affiliated Faculty

A. Affiliated Faculty

1. Affiliated Faculty appointments are non-tenurable appointments and do not carry voting privileges. These appointments are appropriate for colleagues who currently, or have potential to, work closely with the School to fulfill its mission.
2. To be appointed as Affiliated Faculty, a candidate must (a) hold a full-time faculty appointment at the University of Louisville or another academic or research institution; (b) maintain, or have maintained, a commitment to actively participate in the research, teaching, or service mission of the School through collaboration with at least one full-time faculty member; and (c) maintain a personal and professional profile that positively reflects upon the School.

B. Honorary Faculty

1. Honorary Faculty appointments are non-tenurable appointments and do not carry voting privileges. These appointments are appropriate for colleagues who have assisted in the past (and possibly currently) to assist the School in fulfilling its mission. This appointment is meant to honor that unique contribution, and to express gratitude for their time and service to the School.
2. To be appointed as Honorary Faculty, the candidate must be considered a national or an international leader in their field. Honorary or Affiliated appointments are made at the same rank held by the faculty in their home academic unit.
3. Appointment procedures include (a) submission of a letter of recommendation and the candidate's vitae to the Personnel Committee by a Full- Time faculty member; (b) Personnel Committee reviews and makes a positive recommendation to the faculty for discussion and vote; and (c) Faculty's action referred to the Dean.
4. Initial appointments will be three years, with renewal by the Dean after consultation with the Personnel Committee.

C. Duties and Responsibilities of Affiliated and Honorary Faculty

1. Honorary and Affiliated faculty serve as needed by the School and may be terminated without cause by recommendation of the Personnel Committee and vote of the faculty. The faculty positions may be terminated with cause by recommendation of the Personnel Committee and the approval of the Dean.
2. Honorary and Affiliated faculty may contribute to the School in a variety of ways to include advising, mentoring, scholarship, curriculum development, grant writing, teaching, etc.
3. Appointees may serve as members of dissertation committees but may not serve as the chair of the committee.
4. Appointees may be included in faculty/staff lists (e.g., in catalogues and program brochures) as "faculty affiliated and/or honorary faculty with the School".

XII. Grievance Procedures

All faculty (Part-time, Professors of Practice and Research Professors [term], probationary, and tenured) have access to the grievance procedures established and detailed in the University of Louisville's Redbook Article 4.4: Resolution of Disagreements.

XIII. Work Outside the University

A. Standard Procedure

Full-Time Faculty of the Kent School of Social Work and Family Science may carry out professional work outside the University, with or without pay, within the time guidelines stated by the Redbook Section 4.3.3. All full-time faculty are required to

describe their work in the Annual Review Report (or its equivalent approved by the Faculty) and to forecast expected activities for the coming year in their Annual Workload Agreement (or its equivalent approved by the Faculty). The general description of these activities within these documents allows the faculty member to document that 1) the work is appropriate to the faculty member's expertise, 2) the work is consistent with the mission of the University, and 3) the work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities at the University of Louisville.

B. Additional Procedures

The School's standard procedures are intended to enhance the Dean's knowledge of the faculty member's professional interests and activities without creating a cumbersome permission process that could stifle productive professional activity. However, if a faculty member's Annual Review results in a judgment of unsatisfactory or minimally satisfactory performance (Level 0 or Level I), and the Dean indicates in the written review that the less than satisfactory performance may have been partially due to time spent on work outside the university, then the Dean may institute additional stipulations for approval, at the Dean's discretion for the faculty member's professional work outside the university. At the Dean's prerogative, this may include a more rigorous individualized monitoring and approval process of the faculty member's professional work outside the university. The more rigorous approach should be part of an overall plan to assist the faculty member in returning to satisfactory performance.

Appendix A
Disclosure of Potential Conflict of Interest

Faculty Search Committee

Kent School of Social Work and Family Science

To the best of my knowledge, I am not aware of any and do not have any real, potential, and/or perceived conflict of interest regarding serving on this search committee.

If any real, potential and/or perceived conflict of interest arises during my tenure on the committee, I will discuss it with the search committee and chair, and if I conclude or it is concluded by the search committee and chair that a real, potential and/or perceived conflict of interest exists, I will excuse myself from the proceedings in question, or step off the committee altogether if indicated.

Committee Member Signature / Date

Committee Member Signature / Date

Committee Member Signature / Date

Committee Member Signature / Date

Committee Member Signature / Date

Committee Member Signature / Date

Committee Member Signature / Date

Appendix B
Face-to-Face or Online Teaching Observation

Mid - Promotion Teaching Observation Protocol

It is best to review the following steps ahead of conducting the teaching observation.

1. Review all the candidate's submitted materials for teaching
2. Meet with the candidate to:
 - a. Discuss Teaching Observation Protocol (this document) and address any related questions
 - b. Get an overall sense of their teaching in relation to the 5 criteria (**see Teaching Observation Form**), and document your notes on the **Teaching Observation Form**, under **Pre-Observation Notes**. Use the following to guide your conversation:
 - i. Describe teaching philosophy, teaching values and professional ethics, and approach to anti-racist teaching/teaching diverse learners
 - ii. Describe approach to grading and providing feedback to students on assignments
 - iii. Describe development and management of the teaching environment
 - iv. Describe how lesson plans are set up and delivery of lesson plans, etc.
 - v. Describe creative/innovative resources used, as well as methods & teaching strategies.
 - vi. Describe communication with students, answering questions, & assessment of student learning and meeting learning objectives, etc.
 - vii. Describe evaluation of teaching & how evaluation is used to inform teaching practice
 - c. Discuss which course will be the focus of the teaching observation and ask for the course syllabus. For online courses, get access to the Blackboard course site. (NOTE: The candidate will need to contact the Delphi Center to explain to them why you need access and to also have you enrolled in the course as an instructor).
 - d. Set up a tentative time/date for the personnel committee to conduct the teaching observation. For online courses, identify which weekly units/modules will be the focus of the observation (Select at least 2 consecutive units/modules). Observers for online courses should choose a limited time frame (e.g., one synchronous session, one weekly unit in asynchronous session) to reflect face-to-face observations as closely as possible. The teaching observation should occur during the same semester the candidate is being evaluated as part of their mid-tenure review process (e.g., spring semester).
3. Conduct teaching observation by attending the identified class session (if course is face-to-face) or reviewing identified units/modules (if course is online). The **Teaching Observation Form** should be used to document observations, indicating how the candidate demonstrates each of the 5 criteria in the learning environment. It should highlight the candidate's strengths as well as areas for growth.

4. After the observation, meet with the candidate to ask for clarification and/or have them elaborate on any aspect of their teaching, if needed. Also, inform them of your general impressions and let them know that a more comprehensive observation narrative will be included within the overall teaching evaluation summary in the mid-tenure report.
5. Write-up an observation narrative, including overall impressions and observations from the **Teaching Observation Form** and include it in the overall teaching evaluation summary in the mid-tenure report. The completed **Teaching Observation Form** should not be shared with the candidate. However, the candidate will have a chance to review the full observation narrative in the Personnel Committee's mid-tenure report.

| Teaching Observation Form | |
|---|--------------------|
| CRITERIA 1: Faculty members should be able to demonstrate their ability to engage students in the exchange of ideas and consider the diversity of learning styles students use to reach their best performance. <i>Consider candidate's teaching philosophy, style, and approach to teaching diverse learners.</i> | |
| Pre-Observation Notes: | Observation Notes: |
| CRITERIA 2: Faculty members should demonstrate their ability to work collaboratively on the administrative tasks involved in teaching to include continued curriculum development, focused course management, and effective evaluation of student performance. <i>Consider candidate's communication with students, assessment of student learning and meeting learning objectives, and approach to grading and feedback. Also, consider how the candidate evaluates teaching & how evaluation informs teaching practice.</i> | |
| Pre-Observation Notes: | Observation Notes: |
| CRITERIA 3: Faculty members should demonstrate their interest and ability in optimizing student / teacher relations with particular attention given to advising and mentoring of our students. <i>Consider how candidate develops and manages the teaching environment to maintain supportive student/teacher relations.</i> | |
| Pre-Observation Notes: | Observation Notes: |
| CRITERIA 4: Faculty members should demonstrate their efforts and accomplishments in utilizing creative instructional techniques with particular attention to the use of technological innovations where appropriate. <i>Consider the candidate's creative or innovative resources used in teaching, as well as other methods and teaching strategies.</i> | |
| Pre-Observation Notes: | Observation Notes: |
| CRITERIA 5: A faculty member's teaching should be conducted in an ethical and professional manner. <i>Consider candidate's teaching values and professional ethics, and how this is illustrated in teaching practice.</i> | |
| Pre-Observation Notes: | Observation Notes: |

Student Follow-Up Survey

(can be done in person or online; must be sent out prior to the distribution of final grades for the semester)

Recently, your instructor, [INSTRUCTOR NAME], invited a colleague to observe their teaching activity (either face-to-face or online) in [COURSE NAME], where you are a student, to provide important feedback on their teaching practices. Now, you are being asked to provide feedback as a follow-up to that observation by answering the following questions.

1. Your instructor was observed on [DATE OF OBSERVATION/ONLINE UNIT NUMBERS]. Given your overall experiences in the course, was the instruction that you received on that day typical of the usual teaching experience in this class? Please explain why or why not.
2. What other information would you like us to know about your learning in this course?

Appendix C
Examples of Documentation of Meeting Criteria for Promotion

Teaching Documentation Examples¹

| Examples of Achievement | Examples of Documentation |
|--|---|
| Develops and/or upgrades courses, curriculum (objectives, content, learning methods, evaluation methods, etc.) | Syllabi or portfolio. Faculty member must document their unique contribution. |
| Engages students in the exchange of ideas | Student Evaluations, Peer evaluations |
| Considers a diversity of learning styles in the classroom | Student Evaluations, Peer evaluations |
| Develops aids or upgrades instructional materials | Submit samples or describe |
| Organizes and supervises seminars, workshops, to benefit community agencies. | Syllabi, announcements, letters, etc. |
| Instructs, develops, designs, or coordinates continuing education courses | Indicate number of CEUs taught and submit brochures, outlines, syllabi etc. |
| Administers short courses, in-service courses, or continuing education activities. | Course outlines, syllabi, or written documentation |
| Advises or tutors students about academic concerns, careers, professional certifications, etc. | Letters of written documentation |
| Attends courses or professional meetings leading to improved instructional competence | CEUs, transcripts, etc. |
| Coordinates clinical education component in the community. | Schedules of field visits, completed field evaluations, and performance evaluations |
| Participates in or develops grants or contracts | Copy of grant or contract related to teaching. |
| Develops activities for the classroom that promote the strategic goals of the university (i.e., i2A, Signature Partnership Initiative, community engagement) | Copy of curriculum with accompanying narrative to explain what was developed. |

¹ In cases of collaborative or committee work the individual role of the faculty should be clarified.

Service to the School and University Examples¹

| Examples of Achievement | Examples of Documentation |
|--|---|
| Serve on School or University Committee | Letters from the Chairs or Committee Members or files representing involvement |
| Chairs a School or University committee | Letter from Chairs or Committee Membership files representing involvement |
| Attends Faculty and Assembly Meetings Regularly | Lists dates attended and provides percent of meetings attended |
| Volunteers for social assignments | Letter of written documentation |
| Contributes to Evaluations self-studies and/or prepared accreditation reports | Self-study reports, graduate, or employer follow-up studies, representing involvement |
| Recruits new students | Identified numbers and methods employed |
| Mentors colleagues | Letters from those mentored |
| Organizes alumni affairs or is involved in special fund-raising activities | Letters or written documentation |
| Participates in or develops grants or contracts relevant specifically to service | Copies of grants or contracts |
| Serves on or attends task groups, conferences or professional development activities related to the strategic goals of the university. | Letters of documentation, products, and related summary narratives. |

¹ In cases of collaborative or committee work the individual role of the faculty should be clarified in written narrative.

**Service to Local, State, National and International
Communities, and Profession Examples¹**

| Examples of Achievement | Example of Documentation |
|--|--|
| Hold office or position of leadership in professional organizations | Announcements, brochures, letters etc. |
| Serves on committees in professional organizations or other universities | Announcements, brochures, letters etc. |
| Participates in public relation efforts (e.g. seminars, interviews) | Announcements, brochures, letters etc. |
| Holds membership on external review boards (e.g., governmental agencies, health care facilities etc.) | Announcements, brochures, letters etc. |
| Serves as professional consultant at community, state, nation, and international level | Announcements, brochures, letters etc. |
| Participates professionally in community affairs to enhance and engage the community (e.g., clubs, civic groups, schools etc.) | Announcements, brochures, letters etc. |
| Presents speeches in public relevant to professional activity on subjects of benefit to the community | Announcements or reviews of talks provided |
| Appears on television, radio or online in professional capacity on subjects of benefit to the community | Verification of Appearance |
| Presents at or organizes cross-disciplinary workshops or courses | Announcements, brochures, or syllabi |
| Provides clinical or casework services to help improve the community | Announcements, brochures, or syllabi |
| Serves professionally as an elected or appointed member of a governmental unit | Announcements, brochures, letters etc. |

¹ In cases of collaborative or committee work the individual role of the faculty should be clarified in written narrative.

Administrative Service Examples¹

| Examples of Achievement | Examples of Documentation |
|--|---|
| Performs program administrative tasks as required in workload agreements or as assigned | Supervisor, faculty, and/or peer evaluation |
| Administers curriculum sequence (e.g., goals, objectives, learning methods, evaluation methods, schedules) | Supervisor, faculty, and/or peer evaluation |
| Contributes to self-studies and/or prepares accreditation reports | Self-study reports etc. |
| Provides administrative support for the development of grants or contracts | Copies of grants or contracts |
| Provides administrative support to promote the strategic goals of the university (i.e., i2A, Signature Partnership Initiative, community engagement) | Copies of products, letters of activity, narrative summaries. |

¹ In cases of collaborative or committee work the individual role of the faculty should be clarified in written narrative.

Scholarly Activity Examples¹

| Examples of Achievement | Examples of Documentation |
|--|---|
| Publishes papers (e.g., journal articles, books, chapter(s) of books, literature reviews, internet articles, technical Reports, case reports, case projects, monographs, proceedings of symposiums and papers accepted for publication | Copy of work required and a narrative of peer review process |
| Presented papers at professional meetings | Copies of papers abstracts, or poster presentations are required |
| Serves as reviewer for professional journal | Letters |
| Serves as editor of professional journal | Journal reference |
| Participates in or develops grants or contracts | Copies of proposals, indicate if approved or funded and level of involvement |
| Successfully obtains and manages grants or contracts | Copies of grants, letters from funding agencies |
| Produces creative projects, including instructional projects | Describe or submit copies of relevant materials (e.g., papers, videos, computer programs) |
| Conducts presentations, write grant, produces video(s), that promote the strategic goals of the university | Presentation announcements, copies of grants, letters of recommendation |
| Conducts academic presentations write grants creates scholarly products that serve to engage and benefit the community | Presentation announcements, copies of grants letters of recommendation |

¹ In cases of collaborative or committee work the individual role of the faculty should be clarified in written narrative.

APPENDIX D

Format of Materials for Full Time Faculty Promotion

The following procedure for submittal of materials is the same for Promotion reviews for Term Faculty and Promotion, Tenure or Pre-Tenure reviews for tenure-track faculty. Only materials relating to activities since appointment to a Full-Time Faculty position in the School faculty may be submitted. The exception to this rule is when a faculty member was granted a certain number of years of credit accumulated at another university. This should be explained in the candidates Overview Statement to the Committee. This does not apply to the curriculum vitae, as it should be career inclusive. In the case of promotion of tenured faculty, or Term Faculty who have already received a promotion, only materials relating to activities undertaken since the last personnel decision should be submitted.

For term faculty, the areas and materials submitted are dictated by their Annual Workload Agreements in their respective contracts. For example, an Assistant Professor of Practice whose contract specifies only teaching and service would not be expected/required to have a Research folder (Scholarly Activity); however, if they did engage in research (beyond the requirements of their contract), they may add a research folder that documents their activities. Similarly, a Research Professor faculty member whose contract specifies only research and service would not have a folder for teaching; however, if they did engage in teaching (beyond the requirements of their contract), they may add a teaching folder that documents their activities. Term Faculty who have unique workload assignments (for example, in Field Education) should consult with the Personnel Committee to develop unique codes for their materials.

Although these suggestions may seem detailed, they are designed to focus the Committee's review on the faculty member's accomplishments (versus how the materials are presented). Each of the suggestions is meant to solve actual problems that have occurred in past reviews.

The candidate will provide two sets of files, one is for the University Interfolio and the other is for the School Cardbox. For Interfolio, follow the format provided by the University. It is suggested that you prepare the Cardbox set first as it will help you to complete the files for Interfolio. Both are to be submitted electronically. The candidate should arrange their folders, files, and directories in a manner consistent with the suggested outline for Cardbox that follows. Formats should be in PDF or Microsoft Office.

- 1) The documentation materials should be organized into a minimum of three separate folders. One for Service material, one for Teaching materials, and one for Research materials (scholarly activity). This assists the committee in dividing up the materials and accomplishing a timely review. It also increases the chance that materials are not mixed-up during review.

Every file or item should be labeled with its contents and be identified with a coding number. The recommended coding is S for service, T for teaching, and R for research (scholarly activity). For instance, the first item in the Service folder would be S-1 followed by its title or description (S-1: Kent School Committee Assignments). This same pattern would then be duplicated in each of the other two folders (i.e. T-1, or R-1, R-2 etc.). Term Faculty with unique workload assignments (for example, in Field Education or for Administration) should consult with the Personnel Committee to develop unique codes for their materials.

- 2) Each folder should have its own easily recognized **Index of Materials** file as the initial file. The recommended organization of the **Index of Materials** differs for each area and is described below. The purpose of this Index is to guide the reviewers through your materials and explain what is presented. A good Index describes each item or file and comments on its significance. These description/ comments can be very short (a couple of lines) but will aid the reviewer tremendously in understanding the importance of the material.
- 3) Some materials can legitimately be considered in more than one category. However, for the purposes of submitting materials they should not be submitted in more than one area. Candidates should place them where they feel they best fit. It should be noted however, that in certain situations the Committee has considered material submitted in one area as documentation in another. This has always been done to strengthen a candidate in an area that the committee considered in need of extra activity. The candidate should also feel free to check with the Personnel Committee Chair prior to submitting if they would like some advice regarding where to place a given activity. The categories that follow should only be viewed as a suggested method of organization, not a list of required or expected materials. Likewise, the candidate is welcome to create additional categories they deem necessary to organize their work. For books or chapters under contract but not yet in print include contract correspondence. For workshops or “talks” given to public or private entities usually is categorized as a service contribution to the community and should be listed under service.
- 4) **Index of Materials: Service Related Activity.** It is recommended that this Index should be organized under the following sub-headings:
 - a) Service to the Kent School
 - b) Service to the University
 - c) Service to the Community
 - d) Service to the Profession
- 5) **Index of Materials: Teaching Related Activity.** It is recommended that this Index should be organized under the following sub-headings:
 - a) Courses Taught
 - b) Student Course Evaluations
 - c) Unsolicited Student Comments on Teaching / Advising
 - d) Unsolicited Comments from other on Teaching / Advising
 - e) Curriculum Development Projects
- 6) **Index of Materials: Research Related Activity.** It is recommended that this Index should be organized under the following sub-headings:
 - a) **Journal Articles**
 - (1) Articles published in refereed journals
 - (2) Articles published in non-referred formats
 - (3) Articles accepted but not yet in print
 - (4) Articles written or submitted but not yet accepted
 - b) **Books and Book Chapters**
 - (1) Books published
 - (2) Books under contract but not yet in print
 - (3) Book chapter(s) published
 - (4) Book chapter(s) under contract but not yet in print
 - (5) Books or chapters in some other stage of progress

c) **Book Reviews**

- (1) Book reviews published
- (2) Book reviews invited but not yet in print

d) **Professional Presentations**

- (1) Peer reviewed state or regional presentations¹
- (2) Peer reviewed national presentations

e) **Grants and Contracts**

- (1) Grants or contracts received
- (2) Grants or contracts pending

f) **Other forms of Scholarly Activity (project evaluation reports, training manuals, conference publications, etc.)**

- (1) Completed activities
- (2) Activities in progress

APPENDIX E

Full Periodic Reviews for Full-time Faculty

The following are required materials to be submitted to the Personnel Committee.

1. **Resume:** An up-to-date resume.
2. **Copies of Annual Review Letters:** If the letters have salary information on them, this should be redacted prior to submitting to the committee.
3. **Professional Development Letter:** A letter to the Personnel Committee describing and summarizing the faculty member's work over the past 5 years and their intentions or projections of activities for the next 5 years. This is meant to provide a career context for the committee so they can better understand the professional goals of their colleague. Utilizing sub-headings as indicated below, this letter should comment on contributions in Teaching, Service, and Research.

a) Suggested Outline of Letter

- i) Overview of the Past Five Years
- ii) Discussion of Teaching Activities
- iii) Discussion of Service Activities
- iv) Discussion of Research Activities
- v) Plans for the Next Five Years

b) Referencing Supporting Materials in the Letter

- i) When discussing in the letter a particular activity for which the faculty member has provided materials, the Committee requests the insertion of a reference code at that point in the letter. The code can follow the same one suggested elsewhere in this manual, i.e. (T) for teaching, (S) for service, and (R) for research, all followed by the number and title of the appropriate file.

Example: "For the past three years, I have tried to focus improvement on my teaching and student advising. Although I have always maintained this area, the time I spent on sabbatical rekindled my interest in the mentoring aspects of our profession. I have been pleased with the results of this refocusing and have heard from students that they too have benefited (see T-3: Unsolicited Student Comments on Teaching). I feel particularly good about this given the increased time I have had to put into the curriculum revisions (see T-4: Curriculum Development Projects)."

4. **Supporting Materials:** If submitted, the materials should be organized into three separate areas. One area for Teaching materials, one for Service materials, and one for Research materials (scholarly activity). Each item or file in each area should be labeled with its contents and be identified with a coding number. In Periodic Reviews, the Professional Development Letter serves the same function as an index of materials and therefore another index for the materials is not suggested.

Reminder: The committee does not expect faculty to submit the extensive materials common to tenure or promotion activities. Faculty members should submit items in each area that assist the committee in understanding their work.

5. **External Reviews:** External reviews are **not** required for Periodic Review although the faculty member, the Personnel Committee or the Dean may request them when deemed useful. Such requests should not be routine but based upon the need to provide outside expertise to evaluate or inform a particular question.

Appendix F Templates of Emails for External Reviews

Email Template for Requesting External Review

Hello Dr. [Reviewer's Name],

My name is [Personnel Chair's Name], and I am the Chair of the Personnel Committee, here at the Kent School of Social Work & Family Science at the University of Louisville.

I am contacting you because you have been recommended as a potential external reviewer by the personnel committee for one of our colleagues, Dr. [Faculty Member's Name], who is a candidate for promotion to [potential rank] this coming [years] academic year. Because of your research knowledge and expertise is in the area similar to that of Dr. [Faculty Member's Name]'s current research and scholarship, Dr. [Faculty Member's Name] put forth your name as a potential reviewer. The personnel committee selected you because you are known to have a valued perspective on this area of research. I hope you will accept our invitation.

If you accept our invitation, I will send you [Faculty Member's Name]'s vitae, the candidate's statement about research and scholarship, as well as samples of their work for your review and comments. We will expect a response from you in the form of a letter by [deadline] or earlier so that we can meet all our timelines for submitting the final report. What we will be asking you to do is to provide us some context regarding the scope and contribution of [Faculty Member's Name] research and scholarship. We will not be asking you to weigh the promotion decision itself. As you know, many factors go into that deliberation, and you will have only been provided limited materials. However, your perspective on the significance of the candidate's scholarly work, its rigor, relevance, and professional contribution will provide a key perspective for the committee and the university administration in the tenure and promotion decision. According to our personnel procedures, your review will be part of the official triptych along with the committee's report and recommendation that is submitted to the university administration for their decision. The candidate is given a copy of each external review report with all identifying information about the reviewer redacted. Thank you for considering this invitation. If you have any questions, I can be reached at [Chair's email address] or at [Chair's phone number].

If at all possible, please let me know your reply to this invitation by [deadline for decision]. I look forward to your reply.

Thank you,

[Chair's Name]
Personnel Committee, Chair
Kent School of Social Work & Family Science
University of Louisville

Template of Letter from Dean Thanking External Reviewer for Agreeing to Review

[To be put on University Letterhead]

[Date]

Dear Dr. [Reviewer's Name],

Thank you for agreeing to review a sample of the research and scholarly activities of [Faculty Member] who is being considered for tenure and promotion to [potential rank] at the University of Louisville. Because of your valued knowledge and expertise, we are interested in your appraisal of the research and scholarly activities of [Faculty Member].

The chair of our personnel committee, Dr. [Chair's Name], is sending you the review materials and our school's tenure and promotion criteria for your consideration. You are providing a valuable professional service and we are indebted to you for your thorough evaluation and honest forthright critique. Please accept our sincere appreciation for your time, effort, and willingness to assist the personnel committee and [Faculty Member].

Sincerely,

[Dean's Name], Dean
Kent School of Social Work & Family Science

Template of Letter from Personnel Committee with Instructions for Review

[To be put on University Letterhead]

[Date]

Dear Dr. [Reviewer's Name],

On behalf of the personnel committee in the Kent School of Social Work & Family Science at the University of Louisville, thank you for agreeing to review a sample of the scholarly activities of our colleague, Dr. [Faculty Member's Name], who is seeking tenure and/or promotion to [potential rank]. The fall is a busy time, and we are sure you have numerous commitments; thus, your willingness to provide thoughtful review and comment is greatly appreciated.

What we are asking you to do is to provide us some context regarding the scope and contribution of the materials you have received. Dr. [Faculty Member's Name] put forth your name and the committee selected you because you are known to have a valued perspective on the selected material. Your experience in the field and your awareness of the national conversation on these subjects will enrich our other forms of review. We are not asking you to weigh the personnel decision itself, as you know many factors go into that deliberation and you have only been provided limited materials. However, your perspective on the significance of the candidate's scholarly work, its rigor, relevance, and professional contribution will provide a key perspective for the committee and the university administration.

If at all possible, we would hope to have your comments for our review by [deadline], though earlier would be very helpful. The form of your response is of your choice; however, a letter or report to the committee would certainly be appropriate. If this timetable proves difficult, please contact me personally at [Chair's email address] or by phone at [Chair's phone number] so that we can discuss what we might do.

Please contact me should you have any further questions regarding this review at either the above email address or by phone. Thank you again for your willingness to assist the committee and Dr. [Faculty Member's Name].

Thank you,

[Chair's Name]
Personnel Committee, Chair
Kent School of Social Work & Family Science
University of Louisville

Tenure Criteria to be Sent to External Reviewer as Minimum Guidelines

VI. Policies and Procedures Specific to Probationary (Tenure-Track) and Tenured Faculty

F. Promotion Review Criteria & Documentation for Probationary (Tenure-Track) and Tenured Faculty

1. Criteria for Promotion

A decision to recommend tenure for fellow faculty members in the Kent School of Social Work and Family Science is based on the conclusive assessment by the faculty that the candidates have demonstrated their ability to be respected scholars and colleagues. This designation presumes our colleagues' ability to communicate ideas in the classroom, to utilize their skills in service to the university, profession, and community, and to influence our field through scholarly contribution. Furthermore, colleagues granted tenure must have the ability to work collaboratively in all three areas of performance and to adhere to professional standards and ethics in all their activities. Because the field of Social Work and Family Science both span diverse practices with many service populations, the Kent School believes it important to encourage academic excellence and contribution across this spectrum. Within an overall context that values quality teaching, service, and scholarly activity in its many forms, the Kent School seeks to describe some consistent criteria that are to be used for judging satisfactory performance in tenure decisions. Although the successful candidate for tenure must document that they have met all the following criteria listed below, works in progress, grant applications, and exploratory work with a colleague are examples of important activity that will be considered in the evaluation process to provide a fair and accurate assessment of a faculty member's abilities and efforts. The criteria and documentation of performance appear below, and examples of documentation are also available in **Appendix C**. The criteria and documentation listed below and the examples in Appendix C are declared for the purpose of guiding candidates in understanding the standard by which the sum of their work efforts will be measured.

a. Teaching Criteria for Promotion

- i. Faculty members should be able to demonstrate their ability to engage students in the exchange of ideas and consider the diversity of learning styles students use to reach their best performance.
- ii. Faculty members should demonstrate their ability to work collaboratively on the administrative tasks involved in teaching to include continued curriculum development, focused course management, and effective evaluation of student performance.
- iii. Faculty members should demonstrate their interest and ability in optimizing student / teacher relations with particular attention given to advising and mentoring students.
- iv. Faculty members should demonstrate their efforts and accomplishments in utilizing creative instructional techniques with particular attention to the use of technological innovations where appropriate.

b. Service Criteria for Promotion

- i. Faculty members should demonstrate a record of contributing time, talent, and leadership to the School and university governance.
- ii. Faculty members should be viewed by their school and university colleagues as dedicated, collaborative, and helpful in the tasks of academic governance.
- iii. Faculty members should demonstrate a record of professional service to the needs of the community on a regular and recognized basis.
- iv. Faculty members should have professional affiliation and work to improve the profession in ways appropriate to their skills and interests.

c. Scholarship Criteria for Promotion

- i. Faculty members should be able to demonstrate a consistent level of scholarly effort that includes publication of their work.
- ii. Although the School encourages alternate venues for professional contribution, and scholarly work covering a wide array of activities is eligible for review in the tenure decision, faculty members should submit a significant portion of their work for peer review and demonstrate a record of favorable review.
- iii. Although it is understood that faculty members develop their own interests, abilities, and unique projects, it is also expected that faculty may work on collaborative, team-based, and/or interdisciplinary teams to complete scholarly projects of mutual or group interest.
- iv. A faculty member's scholarly work should be conducted in an ethical and professional manner.