

UNIVERSITY OF LOUISVILLE PHYSICS DEPARTMENT PERSONNEL POLICY

The personnel policy of the Department establishes guidelines for evaluation of accomplishments of faculty members. The policy incorporates the policies of the University and the College as well as the mission statement of the Department.

I. PERSONNEL COMMITTEE

1. A departmental personnel committee shall be formed at the first departmental meeting of each academic year to make evaluations for merit, promotion and tenure, to make recommendations to the department Chair, and to assist the Chair in other personnel matters as required.
2. The committee shall be composed of three full members elected by the faculty in staggered, three year terms. An alternate shall be elected each year to review any full member when that full member is under review. The alternate is encouraged to participate in all discussions. The alternate shall become a full member of the committee in the following year.
3. Any full time faculty member, regardless of rank or tenure, is eligible for membership on the committee.

II. WORKLOAD ASSIGNMENTS (AWP)

The allocation of effort among Teaching, Research and Creative Activity, and Service, is subject to negotiation between the Chair and the individual faculty member. The agreed upon allocation is represented in the Annual Work Plan (AWP). Generally:

Tenured Faculty may concentrate their effort in one or more areas of activity when such concentration is consistent with the mission statement and the needs of the Department.

Untenured Faculty must maintain a balanced AWP allocation among Teaching, Research and Creative Activity, and service to ensure satisfactory progress toward tenure.

Disagreements between a faculty member and the chair as to the proper allocation of effort will be referred to the department personnel committee. If unresolved at that level, such disagreements will be referred to the Dean who shall resolve them in consultation with the college personnel committee.

III. PROCEDURES FOR MERIT, PROMOTION, AND TENURE

1. The departmental personnel reviews will recognize accomplishments in Teaching, Research and Creative Activity, and Service. These evaluations will also be made based on adherence to professional standards, and the ability of a faculty member to collaborate with colleagues and students.
2. Evaluation of performance must be made in accordance with AWP assignments.
3. Each full-time permanent faculty member will be reviewed annually, and the annual reviews shall become part of the record for periodic career review.
4. Annual review will take into account career patterns of accomplishments.
5. For the award of tenure or promotion to associate professor, the record must indicate proficient performance in all three areas of activity, and promise of continuing performance, as stipulated in Sec 1.3.C of the Personnel Policy and Procedures of the College.
6. For the award of promotion to professor, the guidelines listed in Sec.1.3.D of the Personnel Policy and Procedures of the College shall be followed.
7. A tenure-track faculty member can request consideration for early tenure (Redbook 4.2.2F) at any time. The department may recommend early tenure when the record indicates exceptional performance in either Teaching or Research and Creative Activity, and proficient performance in the other two categories.

IV. PROCEDURES FOR ANNUAL REVIEW

1. The annual review will consider achievement during the year under review and the two years preceding it. The "year under review" will be the *calendar* year that terminates during the *academic* year in which the review is carried out.
2. Each faculty member must submit a curriculum vitae, AWP's for the three years under consideration, information relevant to quality of instruction, and a memo of no more than three pages summarizing his or her achievements in Teaching, Research and Creative Activity, and Service during the review period.
3. Copies of published work during the review period shall also be submitted for review.
4. Extramural review is optional for the annual review.

V. PEER EVALUATION OF TEACHING

1. Peer evaluation of Teaching is a necessary component of any personnel review. This evaluation shall include a review of a broad range of teaching activities. A partial listing of such activities is given in the Guidelines.
2. A pre-tenure review must include direct observation of the different components of the reviewee's teaching effort. When the need for improvement is identified in some areas, the reviewee will be notified and other observations in those areas will be conducted prior to the tenure consideration.
3. In class observation is optional for all actions except Pre-Tenure Reviews.

VI. PERIODIC CAREER REVIEW

Periodic Career Review will be conducted in accordance with the procedures established in Section 2.4 of the Personnel Policy and Procedures of the College. The cumulative annual review will serve as the basis for the periodic career review.

VII. LEVELS OF RECOGNITION FOR ANNUAL REVIEW

The result of the annual review of a faculty member's overall performance will be to arrive at one of the following designations of the record under review:

- 1) Not Proficient, 2) Proficient, 3) Highly Proficient, 4) Exceptional.

The types of evidence that lead to recognition at various levels are listed in the Guidelines and are guided by the following general principles.

Research and Creative Activity A faculty member is expected to maintain an awareness of developments in a professional field and an ability to contribute to these developments.

Teaching A faculty member is expected to apply his or her highest professional and intellectual resources to impart knowledge and understanding of physics to students.

Service A faculty member is expected to contribute in a collegial manner to the business of the Department, the College, the University, and/or the community.

VIII. ALLOCATION OF ANNUAL MERIT AWARDS

1. For each area under consideration (Research and Creative Activity, Teaching, and Service), a score between 0 and 2 is assigned in increments of 0.25. Criteria by which these scores are assigned are given in the departmental Guidelines.
2. Once an assignment has been made for each category, it will be weighted by the AWP percentage for that activity. The sum of the weighted scores shall be converted to the Not Proficient, Proficient, or Highly Proficient rating according to the following ranges:

0.00- 0.59 = Not Proficient (0)
0.60- 1.39 = Proficient (1)
1.40- 2.00 = Highly Proficient (2)
3. The "Highly Proficient" category shall be rewarded at 125% of the "Proficient" category.
4. Individuals whose accomplishments are determined to especially strongly satisfy the criteria for Highly Proficient will be designated as Exceptional and will be recommended to the Dean for Supplemental Award.
5. The annual merit funds allocated to the Department shall be divided equally between a lump sum distribution and a percentage of base salary.

IX. ANNUAL REVIEW OF THE DEPARTMENT CHAIR

The review of the department Chair shall comply with the Redbook (Section 3.3.5), the A&S Personnel Policy (Section 2.1B6), and with the Dean's Guidelines.

X. RECOMMENDATIONS FOR SUPPLEMENTAL AWARDS

The Personnel Committee will make recommendations to the chairperson for supplemental awards for outstanding achievements in research or teaching or to redress inequalities in salaries.

Approved 11/25/02

Draft Revision 2/6/03

GUIDELINES FOR PHYSICS DEPARTMENT PERSONNEL ACTIONS

PEER EVALUATION OF TEACHING (POLICY SEC. V)

Peer evaluation of Teaching shall include a review of activities such as:

- classroom teaching effectiveness (including laboratories) as exhibited through syllabi, homework assignments, tests, materials used for teaching, demonstrations, and in class observations when available.
- student evaluations
- direction of independent studies
- direction of graduate students
- advising of students
- introduction of courses and innovation in teaching methods.

LEVELS OF RECOGNITION FOR ANNUAL REVIEW (POLICY SEC. VII)

Criteria for recognition at various levels are listed below, followed by examples of evidence that could satisfy these criteria. All listings of evidence are inclusive, not exclusive, and are to be understood as typical examples. Accomplishing all items in the listings within a given range is not required; nor are other types of evidence excluded.

Research and Creative Activity

Not Proficient Failure over an extended period of time to maintain an awareness of developments in a professional field and to maintain an ability to contribute to these developments regularly with original creative work in at least a modest way will be considered as Not Proficient performance.

Proficient Regular participation in scholarly, creative or critical professional activity that maintains an awareness of and the ability to contribute productive work will be considered as Proficient Performance.

- Evidence of work in progress during the year.
- Presentation of work at professional meetings or colloquia

- Publication or acceptance of research articles during a reasonable period
- Publication or acceptance of pedagogical articles
- Internal research grant
- Submission of external grant proposal
- Refereeing of papers, books or proposals

Highly Proficient/Exceptional Work which shows a high degree of initiative, originality, or leadership significantly beyond that recognized at the proficient level.

- Development of experimental and/or theoretical techniques which have useful application or which significantly extend the possibility for further exploration .
- A collected body of published and/or accepted work which taken together shows a high degree of initiative, originality, or leadership.
- External grant proposal that is funded or has predominantly excellent reviews.
- Acceptance of review articles or monograph for publication.
- Publication of quality textbooks by a reputable publishing company following a review process.
- Publication of pedagogical articles showing a high degree of initiative and originality.
- Invited talks at the American Physical Society or similar national and international conferences.

Teaching

Not Proficient Failure of a faculty member to meet classes on a regular schedule, to be familiar with the subject material so as to be able to discuss it in a cogent, coherent manner, and to be available for consultation with students, will be considered as Not Proficient performance.

Proficient The preparation and presentation of subject matter on a regular schedule so as to guide students in an efficient manner so that they can attain proficiency in the course material will be considered as proficient performance.

- Regular preparation of lectures, organization of laboratories and supervision of assistants.
- Maintaining a continually high standard in the conduct of lectures and/or the supervision of laboratory courses.
- Preparation of standard courses new to the reviewee.
- The direction of theses, dissertations, and/or independent study.

Highly Proficient/Exceptional

Work of a pedagogical nature that shows a high degree of initiative, originality, and/or leadership, significantly beyond that recognized at the proficient level, will be considered as Highly Proficient or Exceptional performance.

- Receipt of a Teaching Award
- The development of innovative course areas that are new to the curriculum and significantly enhance the offerings of the department.
- External grant for development of teaching or laboratories.
- Innovative contributions for the enhancement of teaching.
- Development for the general use of the faculty and students of new pedagogical software, demonstrations, or materials.

Service

Not Proficient

Failure to provide service, on a regular basis, consistent with the general principles described in Policy Sec. VII, will be considered as Not Proficient performance.

Proficient

A regular and productive contribution in a collegial manner to the academic business of the Department, and/or the College, and/or the University, will be considered as Proficient performance.

Highly Proficient/Exceptional

Contributions to the Department, College, University, Community, or a person's professional discipline, which involve an unusual initiative or high degree of leadership will be considered as Highly Proficient or Exceptional performance.

Approved 11/25/02

Draft Revision 2/6/03