

## Revisions Approved by Faculty on September 30, 2011

### PERSONNEL POLICY AND PROCEDURES DEPARTMENT OF JUSTICE ADMINISTRATION

#### I. Faculty Appointments and Tenure

The Department of Justice Administration shall follow the policies and procedures as specified in Article 1 Section 1.1-1.4 of the College of Arts and Sciences Personnel Policies and Procedures.

#### II. Faculty Personnel Reviews

Personnel reviews shall be based upon peer evaluation of a documentary record that includes qualitative and quantitative evidence of performance. Proficiency in the areas of teaching, research and creative activity, and service shall normally be required of all faculty members, unless responsibility for some area or areas is excepted in this document or specified in writing at the time of the initial appointment.

#### III. Annual Reviews

##### A. Areas of Activity

The personnel reviews of the Department shall consider evidence in the areas of teaching, research and creative activity, and service. The reviews will reward performance in the short term and seek to reinforce desirable patterns of career advancement and to foster the development of excellence in the Department of Justice Administration. Performance evaluations shall be based on merit, including contributions to the missions of the Department, the College, and the University. Evaluations must consider those areas of activity for which the approved annual work plan indicates a faculty member's responsibility, and no faculty member may be penalized for non-performance in any area of activity for which the faculty member has no assigned responsibility. Faculty members may be rewarded for activities that are not represented on the Annual Work Plan.

##### B. The Department of Justice Administration will follow the procedures as outlined in the College of Arts and Sciences Personnel Policies and Procedures Section 2.1B.

1. Each full-time faculty member shall be reviewed annually. The annual reviews shall become part of the record for all subsequent personnel reviews and the basis for salary increases. Annual reviews shall take into consideration achievement for the year under review and the two years preceding it.
2. Each faculty member shall be given an opportunity to present documentation of performance and effort relative to the annual work plan during the review period, this shall include but not be limited to completion of the department's performance evaluation summary for the time period under review. Extramural review is optional for annual review.
3. Annual review may take into account career patterns of accomplishments as reflected in the curriculum vitae and in any submitted state of progress.
4. Each faculty member must submit to the department personnel committee a curriculum vitae, Annual Work Plans, and information relevant to quality of instruction for the review period, including the results of student evaluations for all courses taught at the University of Louisville during the review period. The department personnel committee

shall submit a performance evaluation of each faculty member to the Chair, who shall submit a subsequent performance evaluation to the Dean. The Dean's performance evaluation is final, subject to appeal under 2.1.C.5.

C. Annual Review of Chair

Each year the Chair of the Department of Justice Administration shall submit, in addition to those materials required of other faculty, a detailed summation of administrative accomplishments. This listing should take the form of progress made toward University, College and/or Department Strategic Objectives as well as a listing of other administrative accomplishments. This information shall be used, in addition to materials submitted by the chair as evidence of standard faculty work requirements, in the annual performance evaluation of the chair.

These department accomplishments, as provided by the chair for the annual evaluation, shall be circulated among faculty along with other pertinent information concerning the state of the Department of Justice Administration on an annual basis.

The evaluation of the chair shall also include input from individuals outside the department, such as the Dean. The department chair, together with the department personnel committee shall be responsible for identifying such individuals.

D. Distribution of Funds

1. The Department of Justice Administration will follow the procedures and criteria established by the Personnel Policy and Procedures of the College of Arts and Sciences, Section V, Parts A-C.
2. Determinations regarding annual performance and salary reviews shall take the following form:

Funds will be allocated on a 100 percent basis as a lump sum distribution based on merit points awarded.

- b) The point scale for evaluations will be Not Proficient = 0 to 2.5, Proficient = 2.51 to 3.0, Highly Proficient = 3.01 to 3.79 and Exceptional = 3.8 to 4.0. Members of the personnel committee shall review each faculty member's performance and rate their performance in each of the three areas (instruction, scholarly activity, service). Using a scale of 0 to 4.0. The committee member ratings for each area of performance shall then be "averaged" to provide for an overall rating for each performance area for each faculty member. These averaged ratings from the personnel committee will then be "weighted" based on the percentage allocation of these activities on the faculty member's Annual Work Plan. These weighted ratings are then added together to arrive at the faculty member's overall rating for the evaluation period under review.

Faculty must be, at a minimum, proficient in all categories for which they have a 10% or greater AWP allocation to receive an overall rating of Highly Proficient or Exceptional. The final numeric merit score for faculty failing to receive the minimum rating of proficiency as described shall be no higher than that provided for in the policies as the maximum for Proficient or the faculty member's total numeric merit points, whichever is lower.

3. When supplemental funds are available, recommendations will be made by the Department Chair to the Dean of the College concerning faculty who deserve additional salary increments.

## IV. Tenure

- A. Time Required  
See Redbook 4.2.2.A.
- B. Leaves of Absence  
See Redbook 4.2.2.B.
- C. Extension of Probationary Period  
See Redbook 4.2.2.C.
- D. Prior Service  
See Redbook 4.2.2.D.
- E. Early Tenure  
See Redbook 4.2.2.E.
- F. Criteria for Tenure

- 1. Areas of Activity

Evidence of broad-based, proficient performance in teaching, research and creative activity, and service shall be required to sustain recommendations for tenure. A faculty member's collaboration and adherence to professional standards will also be considered.

All evaluations of personnel shall take into consideration a faculty member's annual work plans during the period of review. Whenever used in this document, the work "proficient" shall be understood to mean "having satisfied capably all the special demands or requirements of a particular situation, craft, or profession."

The Department of Justice Administration shall follow the policies as specified in the College of Arts and Sciences Personnel Policies and Procedure's Section 2.2F.1-4. In addition to those criteria set forth in Section 2.2F. 1-4, the Department of Justice Administration incorporates the following standards and definitions.

- 2. In addition to service as defined in Section 2.2. F, the Department of Justice Administration, as a professional program, places a special emphasis on activities that constitute service to the practice and profession of justice administration as well as the profession of criminal justice scholarships. These activities may include:
  - a. Application of the scholarship of the discipline to consequential problems in the real world.
  - b. Application of the faculty member's special field of knowledge to a real world problem or need. (i.e. Assisting with organizational problems, developing a professional training program, using special

knowledge in service of the criminal justice profession and/or organizations)

- c. Unpaid consulting activities related to faculty member's area of expertise.
- d. Published or unpublished reports to sponsor related to faculty member's area of expertise.
- e. Studies and/or surveys for public or private organizations related to faculty member's expertise.
- f. Activities which have traditionally been considered to be "professional services," which are based on expertise, include journal editorships, book reviews, giving "expert" testimony before a government or civic body, paper reviewer, etc.
- g. Participation in elected positions, committees, advisory boards, ad hoc Committees, self-study groups, and other activities related to the practice of justice administration and/or scholarly practice within the discipline.

### 3. Collaboration with Colleagues and Students

#### a. Definition

The ability to perform with others under regulations properly established dealing with instruction in the university and with university governance is crucial to any professional endeavor.

#### b. Scope of Activities

At a minimum, this category speaks to the importance of treating others with respect and professional regard. Evidence of proficiency in this category may include consideration of activities included elsewhere, such as: co-authoring papers with colleagues; working on independent studies, theses or dissertations with students; developing teaching materials or assessment procedures with other faculty; and participating on University, College, or Department committees.

#### c. Evaluation

Faculty members reviewed under this section must show evidence of positive contributions. Evidence might include, but is not limited to:

1. Cooperation with colleagues through joint scholarship or service activities.
2. Rapport with students as measured by certain questions on the required teaching evaluations; or the selection of the faculty member as an advisor for independent readings, honors' theses, practicums, or other academic endeavors.

Effective collaboration with colleagues and students is expected of every faculty member.

4. Adherence to Professional Standards

a. Definition

Personal integrity and adherence to standards are the hallmark of any profession, and are especially important in a university. Professional conduct and personal integrity are minimal expectations for any faculty member.

b. Scope of Activities

Meeting and maintaining the standards expected by the faculty member's national, state, and local professional associations.

c. Evaluation

Faculty members' professional conduct and personal integrity will be reviewed. Absent specific evidence of a breach of professional standards, a faculty member will be presumed to have met the minimum professional standards expected in this department.

**V. Pretenure review**

Pretenure review is a procedure whose purpose is to determine whether or not a faculty member is making satisfactory progress toward achieving tenure. A positive pretenure review is not a promise of an eventual tenure grant.

A pretenure review will take place at the mid-point of a faculty member's probationary period. No later than August 1 of the academic year in which the review is to take place, the department Chair shall inform the faculty member, in writing, that the review is to take place. All such correspondence shall become a part of the faculty member's file. In the event that an individual's career pattern does not fit the normal progression that case shall be treated on its own merits, determining whether or not the hiring process constituted a pretenure review. Pretenure review shall be conducted by the department personnel committee, Chair, college personnel committee, and Dean.

The standard for a positive pretenure review shall be a determination that continuation of activity, as documented in the file, is expected to fulfill the stated tenure criteria for the department(s) involved. In the event that the department evaluation is negative, the written evaluation must include recommendations to the faculty member for changing the situation documented in the course of the review.

Pretenure review shall involve an examination of activity in the areas outline in Section 2.2.F. of the College Personnel Policies and Procedures. Standards of judgment for the areas of activity shall be the same as those outlined in Section 2.2.F. of the College Personnel Policies and Procedures. For the purpose of pretenure review, extramural review is optional. This option may be exercised by either the faculty member or the department personnel committee.

The record compiled for pretenure review shall be maintained intact as part of the evidence to be considered in tenure review.

**VI. Evaluation for tenure**

The Department of Justice Administration will follow College Personnel Policy and Procedures as stated in Section 2.2.H.

**VII. Procedures for Reviews and Evaluations for Tenure and Promotion**

The Department of Justice Administration will follow College Personnel Policy and Procedures as stated in Section 2.2.I.

### **VIII. Promotion in Rank**

The Department of Justice Administration will follow College Personnel Policy and Procedures as stated in Section 2.3.

### **IX. Periodic Career Review**

The Department of Justice Administration will follow College Personnel Policy and Procedures as stated in Section 2.4.

### **X. Graduate Senior Research Training Faculty**

There are three levels of Graduate Faculty Membership:

A Member of the Graduate Faculty is authorized to teach graduate courses, serve on graduate student and advisory committees and co-chair Master's theses.

A Senior Member of the Graduate Faculty is authorized to teach graduate courses, serve on graduate student and advisory committees, and chair Master's theses.

A Senior Research Training Member of the Graduate Faculty is authorized to teach graduate courses, serve on graduate student and advisory committees, chair Master's theses and chair dissertation committees.

#### Criteria for Graduate Faculty

1. Earned doctorate/terminal degree in the teaching discipline or a related discipline
2. Evidence of experience in research, teaching, scholarship or creative activity

#### Criteria for Senior Research Training Faculty

In addition to the criteria above for Graduate Faculty appointments, Senior Research Training Faculty appointments require:

1. Evidence of active research and scholarship. This is defined as a minimum of 7 – 8 refereed publications over the past five years and a minimum of 20% work allocation to research unless the faculty member has a greater than 40% administrative time allocation.
2. In the instance of an administrative allocation of greater than 40%, the faculty member shall carry a minimum of 10% research allocation annually and evidence of active research and scholarship defined as a minimum of an average of one refereed publication annually over the past five years.
3. Minimum of proficiency in research, each year, over the past five years
4. Provisions for continuous availability for student mentoring.

Senior Research Training Faculty status may change periodically based on the faculty member's accomplishments, merit evaluations, work plan allocations and availability for mentoring.

## **XI. Conditions of Faculty Employment**

### **A. Annual Work Plan**

Before the opening of each academic year, each full-time faculty member of the College shall sign an Annual Work Plan which describes the distribution of effort planned for the academic year. This policy also applies to faculty on sabbatical leave. Annual Work Plans shall be initiated by the department where the faculty member holds primary appointment. In the case of joint appointments, the respective department Chairs will cooperate in the process. These agreements shall be negotiated between the faculty member and the department Chair(s). The agreement shall be subject to review and approval by the Dean. Disagreements between a faculty member and the Chair as to the proper allocation of effort shall be referred to the Dean for resolution.

When circumstances require changes in the work plan, the faculty member and Chair shall file amended plan, including an explanation of the changes, for the Dean's approval. The annual work plan provides the basis for evaluation of performance.

Annual Work Plans must be consistent with the missions and program needs of the College and the home department(s). Each full-time faculty member must account for 100 percent of his or her full work load. Normally, the allocation of effort is based on some combination of teaching, research and creative activity, and service. Justification for allocations of effort shall include the listing of courses taught, committee assignments and professional projects. The distribution of effort shall be expressed on the Annual Work Plan in terms of percent of effort allocated to each activity. Normally, a three credit hour course requires then percent of annual effort. This standard shall be the basis for the allocation of effort for all activities. All faculty are expected to allocate a minimum of 10 percent to scholarship. Probationary faculty are required to demonstrate broad proficiency in scholarship; thus, a minimum allocation of thirty percent is required in research and creative activity. All approved annual work plans shall respect both the individual faculty member's need to shape his or her own career and the Department and College's various needs, and shall accordingly permit the faculty member to perform various functions at different stages of his or her career.

Service, especially service on campus, is the duty of every faculty member. Participation in department meetings and college assemblies is assumed. Under normal circumstances, faculty are also expected to serve on department, college, and university committees.

Understanding there are many ways faculty members could satisfy expectations for scholarly activity, in the preparation of Annual Work Plans, the faculty shall use the following standards in setting annual workload percentage allocations for scholarly activity:

Publication of Peer Reviewed Article – 10%

Publication of Book Review – 5%

Publication of Technical Report – 5%

Publication of Non-Peer Reviewed Article – 5%

Publication of Book Chapter – 7.5%

Scholarly Conference Presentation – 5%

Grant Application/External Funding Request Submitted – 1-10%

    Research Incentive/Internal grants – 1%

    Non-competitive contracts/sub-awards – 3%

    Single-year, competitive grants – under \$100,000 – 5%

    Multi-year Federal grants – 8%

Multi-year Federal grants, \$200,000 or more - 10%  
Grant/External Funding Awarded – 1- 10%  
Research Incentive/Internal grants - 1%  
Non-competitive contracts/sub-awards – 3%  
Single-year, competitive grants – up to \$50,000 – 5%  
Single-year, competitive grants – over \$50,000 – 8%  
Multi-year grants – 8%  
Multi-year - \$100,000 or more – 10%  
Book Published (Original Research) – 30%

These allocations of time shall be applied as maximum percentage allocations. Faculty may, at their discretion, use lower percentage allocations when appropriate

Publication of text books and instructors manuals for text books shall not count toward a faculty member's annual workload allocation.

Recognizing the importance and variability of departmental committee work, individuals shall claim the following workload allocations for the following departmental committee appointments:

Personnel Committee

Chair – 3%  
Member – 2.5%

Search Committees

Chair – 3.5%  
Member – 3%

Graduate Admissions Committee

Chair – Time allocation is part of Vice Chair appointment  
Member – 3.0%

Scheduling Committee

Members - .2%

Assessment Committee

Chair – 3.0%  
Members – 2.5%

Ad Hoc Committee workload allocations shall be determined on a committee-by-committee basis depending on committee assignment and length of appointments.

B. Compensation

See College Personnel Policy and Procedures Section 3.2.

The standard faculty appointment is for ten months, hereinafter called the Academic Year. Faculty on ten-month appointments have the option of receiving their salaries in ten (10) equal installments (B-10: August through May), or twelve (12) equal installments (B12: July through June), each fiscal year. The standard administrative appointment is for twelve months (A12).

C. Work Outside the University and Presence at the University

1. Work Outside the University

- a) See *Redbook*, Section 4.3.3.
- b) The faculty shall engage in work outside the University in accordance with Article 4.3.3 of the *Redbook*. See also Section 4.3.1 of the *Redbook*, “Presence at the University”.
- c) As required by the Dean, College of Arts and Sciences, faculty shall complete a College of Arts and Sciences, Requests for Approval of Work Outside the University Form prior to engaging in work outside the university. This form shall be signed by both the Chair and the Dean as an indication of the approval of this work.
- d) Work outside the University cannot be conducted on days (or at times) when a faculty member’s classes are scheduled. Meeting of classes is a primary responsibility of faculty.
- e) “Consulting” by faculty in the Department of Justice Administration shall be considered as those professional activities that faculty engages in and for which they are compensated from sources other than the University. “Unpaid consulting” shall, in the department, be considered as professional service as long as the services provided are consistent with the faculty member’s professional expertise and specialties.
- f) Consistent with the *Redbook*, Section 4.3.3, faculty may engage in an average of one consulting day per week over the duration of their 10-month contract. For purposes of further specification, within the Department of Justice Administration, a “day” shall be considered as 10 hours and the 10-month contractual period as including 40 weeks. As such, faculty may engage in an average of 40 days or 400 hours of consulting over their 10-month contract.
- g) Faculty within the Department of Justice Administration will provide the chair with notification of their consulting activities, prior to or immediately following the inception of these activities. This “notification” shall take the form of informing the chair, in writing (which may include e-mail), of the intent to engage in or the actual performance of consulting activities. This notification shall include a general description of the nature of the activities and the agency or organization for whom the activities are being performed.
- h) Faculty shall not fail to meet classes, shall not cancel classes, or otherwise have their classes “covered” in order to perform consulting activities.
- i) Faculty may not use university facilities, equipment, personnel, etc. in the performance of consulting activities.

2. Presence at the University

- a) Although professional activities will require their absence from campus, College faculty are expected to be routinely available on campus to meet with their colleagues and their students. Faculty shall make themselves available to students by observing posted office hours, and by allowing students to arrange

appointments at other mutually convenient times (See Code of Faculty Responsibilities, 2.25).

- b) Justice Administration faculty are required to maintain, at a minimum, one office hour for each 3- credit course taught.
- c) Office hours are to be posted outside the faculty member's office and included in course syllabi.

### 3. **Paid Tutoring**

See College Personnel Policy and Procedures, Section 3.4.

### 4. **Sabbatical Leave**

Sabbatical leaves will be subject to the provisions of the *Redbook*.

### 5. **Review of Research for Scholarly or Scientific Merit**

- a) As required by university policy, the Department of Justice Administration has established the following policy for the review of research for scholarly or scientific merit at the department level.
- b) Prior to submission to the Institutional Review Board (IRB), the principal investigator shall submit all research materials to the department chair for review of scholarly or scientific merit. These materials shall be submitted 10 working days prior to the IRB submissions date and shall include a completed *Department Scientific or Scholarly Merit Review of Research Protocols Involving Human Subjects Form*. This review shall be conducted using the following criteria.

**Significance:** Does the study address an important problem? If the aims of the project are achieved, how will knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field?

**Innovation:** Does the project employ novel concepts, approaches, or methods? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies?

**Approach:** Are the conceptual framework, design, methods, and analyses adequately developed, well integrated, and appropriate to the aims of the project (please consider the appropriateness of the proposed budget and duration relative to the proposed research)? Does the principal investigator acknowledge potential problem areas and consider alternative tactics? If the research involves activities that could have an adverse effect on humans, are the proposed means adequate for protecting against or minimizing such effects?

**Principal Investigator:** Is the principal investigator appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers (if any)?

**Environment:** Does the environment in which the work will be done contribute to the probability of success? Does the research take advantage of unique features of the environment or employ useful collaborative arrangements? Is there evidence of institutional support?

- c) Those reviews resulting in a negative determination shall be appealed to the Department of Justice Administration Research Review Appeals Committee. Negative reviews by this committee shall be taken to the Associate Dean for Research, College of Arts and Sciences for mediation.

**XII. Resolution of Disagreements**

See *Redbook* Article 4.4.

**XIII. Termination of Service**

See *Redbook* Article 4.5