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Article 1 Faculty Appointments

90 Section 1.1 Types of Appointments

91 Faculty appointments are "Full-time", "Part-time", "Emeritus", or "Other Appointments", as described in
92 The Redbook, Article 4.1.

93 Section 1.2 Non-Tenurable Appointments

94 Part 1.2.1 Full-Time Appointments

95 Non-tenurable, full-time appointments with the university may be for lengths of time in accordance with
96 Redbook policies. Generally, temporary appointments are for short-term appointments commonly
97 associated with visiting professors.

98 1. Temporary Appointments

99 Temporary appointments to the various academic ranks (Instructor, Assistant Professor,
100 Associate Professor, Professor) may be made for specifically limited time periods less than one
101 year or for special purposes. In no case shall a temporary appointment or a renewal thereof
102 result in the acquisition of tenure. (See Redbook 4.1.1.A.1)

103

104 2. Term Appointments: Teaching-Track, Research-Track, and Instructor

105 a. Teaching-track and Research-track appointments at the various ranks (Assistant
106 Professor, Associate Professor, Professor) and Instructors are subject to policies for
107 Term Appointments in Redbook 4.1.1.A.2. The Track designation should be specified in
108 the contract based on the primary responsibility of the faculty member (teaching or
109 research). The greatest workload percentages for Teaching-track and Research-track
110 appointments will be in teaching or research, respectively.

111 b. Teaching-track and Research-track faculty shall meet the same criteria for appointment
112 at a designated rank as specified in Section 1.3 (for Probationary appointments),
113 although specific variation in assignments may be designated in the contract and
114 specified in the Annual Work Plan. In normal circumstances, persons appointed as
115 Instructor shall hold a Masters or PhD in their field of specialization, or shall present
116 evidence of having completed a body of research, scholarship or other creative activity
117 equivalent in scope and quality to the similar component of such degree.

118 c. Teaching-Track, Research-Track, and Instructor appointments are subject to annual
119 review as described in Section 2.4.

120 d. Teaching-track and Research-track faculty may apply for promotion in rank according to
121 the criteria of the J.B. Speed School of Engineering defined in Section 2.7. Promotion in
122 rank may be considered after the faculty member has served five consecutive years in
123 rank. Procedures for the promotion of teaching and research track faculty shall be the
124 same as for probationary or tenured faculty. Criteria shall include proficiency in
125 teaching, research and creative activity, and service, but only the areas included in the
126 contract or in the Annual Work Plan. Proficiency in teaching or proficiency in research
127 will not be required if it is not specified in the contract or Annual Work Plan.

- 128 e. Teaching-track, Research-track, and Instructor faculty appointments may be renewed by
129 recommendation by the Dean to the President or President's designee, upon initiation
130 of the department chair and recommendation by the department faculty or faculty
131 committee, subject to satisfactory annual and career reviews.
- 132 f. Contract duration for initial appointments for Instructors, Teaching-track and Research-
133 track faculty may be for 1 - 3 years. Follow-on appointments may be 1 to 3 years for
134 Instructors, Assistant and Associate Professors and 3 years minimum for Full Professors.
135 For faculty at the rank of Associate Professor and Professor, rolling contracts will be
136 available after five years of service at the University of Louisville. Rolling contracts are
137 renewable every year for a duration up to 3 years for Associate Professor and up to the
138 maximum duration allowed by the Redbook for Full Professor. Appointment and
139 duration of such contracts are at the discretion of the Chair and must be approved by
140 the Dean. Renewal of multi-year contracts should generally be considered one full year
141 prior to the end date of the contract.

142

143 Part 1.2.2 Part-Time Appointments

144 Part-time faculty shall be appointed by contract to teach specified courses or to engage in specified
145 instruction, research or service less than full time for a designated period. No such appointment,
146 continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent
147 periods as specified in Redbook, Section 4.1.2. Requirements for appointment at the various ranks for
148 part-time faculty shall be the same as those for full-time faculty. The Dean or Dean's designee may
149 appoint or reappoint part-time faculty for each academic term at the convenience of the University on
150 standard contract terms approved by the Executive Vice President and University Provost.

151 **Section 1.3 Probationary (Tenure-track) Appointments**

152 Probationary appointments shall be appointments of full-time faculty members without tenure other
153 than those described in Section 1.2, provided that such appointment shall not extend beyond the period
154 when tenure is normally granted. Probationary appointments are subject to policies defined in Redbook
155 Section 4.1.1.B.

156 1. Assistant Professor

157 Probationary appointments to the rank of Assistant Professor shall be for stipulated terms up to
158 two years on the initial appointment, and up to three years for appointments made thereafter,
159 provided that they do not extend beyond the period when tenure would normally be granted
160 (Redbook 4.1.1.B.1). In normal circumstances, persons appointed as Assistant Professors shall
161 hold the recognized terminal degree in their field of specialization, or shall present evidence of
162 having completed a body of research, scholarship or other creative activity equivalent in scope
163 and quality to the similar component of such degree. They shall, in any event, give promise of
164 proficiency in all areas of activity listed in Article 2.

165

166 2. Associate Professor

167 Probationary appointments to the rank of Associate Professor shall be for stipulated terms up to

168 two years on the initial appointment, and up to three years for appointments made thereafter.
169 In normal circumstances, persons appointed as Associate Professors shall hold the recognized
170 terminal degree in their field of specialization, or shall present evidence of having completed a
171 body of research or other creative activity equivalent in scope and quality to the similar
172 component of such degree. Additional criteria for appointment (or promotion) to Associate
173 Professor can be found in Section 2.7.

174
175 3. Professor
176 Probationary appointments initially at the rank of Professor shall be for stipulated terms up to
177 two years. Professors shall be awarded tenure if employed subsequent to an initial probationary
178 appointment. In normal circumstances, persons appointed or promoted to the rank of Professor
179 shall hold the recognized terminal degree in their field of specialization, or shall present
180 evidence of having demonstrated a level of research and/or service equivalent in scope and
181 quality to the similar component of such degree. Additional criteria for appointment (or
182 promotion) to Professor can be found in Section 2.7.

183 **Section 1.4 Tenure Appointments**

184 Personnel who have acquired tenure are subject to the regulations in the Redbook (Section 4.1.1.C) and
185 in this document (Section 2.7) and the provisions governing termination of faculty members (Redbook
186 Section 4.5.3).

187 **Section 1.5 Graduate Faculty Membership**

188 The Graduate Faculty of the J.B. Speed School of Engineering will be responsible for the teaching,
189 training, and mentoring of graduate students and postdoctoral students within the Speed School.
190 Further description of the responsibilities, qualifications, *ad hoc* appointments and review of Graduate
191 faculty are defined in the [Minimum Guidelines for Graduate Education in the J.B. Speed School of](#)
192 [Engineering](#) that are part of the Guidelines for Graduate study at the University of Louisville.

193 Graduate Faculty Membership will be granted to any tenured or probationary (tenure-track) faculty in
194 the J.B. Speed School of Engineering at initial appointment. Teaching-track and Research-track faculty
195 are eligible for *ad hoc* Graduate Faculty Membership.

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Article 2 Faculty Personnel Reviews

Section 2.1 General Criteria

The Redbook requires unit documents to classify faculty activities into the areas of teaching, research or creative activity, and service to the profession, the unit, the University or the community. Performance in each of these 3 areas (teaching, research, and service) is the basis for annual reviews, tenure and promotion reviews, and periodic career reviews.

Guidelines regarding J.B. Speed School of Engineering criteria for promotion and tenure reviews are provided in Appendices 5 and 6. Departmental criteria for performance reviews are developed by individual departments as described in Section 2.2.

Section 2.2 Departmental Criteria

Each department will develop a statement of expectations for “proficient performance” of their faculty. This statement will serve as department criteria for promotion, tenure and periodic career reviews. Statements should be reviewed annually by department faculty and approved by majority vote. Statements will also be reviewed and approved by the Dean to ensure consistency with the mission of the J.B. Speed School of Engineering.

Section 2.3 Responsibilities and Authority

One of the objectives of shared-governance is to review, recommend, and mitigate issues at levels closely associated with the individual faculty. As such, the Departmental Faculty Affairs Committee (DFAC) and the Faculty Affairs Committee (FAC) have been created within these documents and by-laws. The DFAC is composed of faculty members from within a department and thus can provide counsel and guidance specific to a discipline. The FAC is composed of faculty members from various departments within the JB Speed School of Engineering. In this manner, the FAC can provide counsel and guidance relative to the school as a whole.

Part 2.3.1 Departmental Faculty Affairs Committee (DFAC)

The DFAC shall serve as the representative of departmental faculty body on all matters pertaining to promotion, tenure, and career reviews. When appropriate, the DFAC will advise the chair, Dean and the faculty and recommend courses of action. The DFAC will function in an advisory capacity and none of its recommendations for promotion, tenure, or career review will be considered binding on the Dean.

Departmental faculties may develop individual procedures for selection of DFAC and for processing promotion, tenure, and career review materials within their departments. If they do not, the general procedure in this section will be used.

In tenure review cases, the DFAC will consist of those voting faculty in the department who have tenure. In promotion review cases, the DFAC will consist of the voting faculty in the department of higher rank than the individual under consideration. In career reviews, the DFAC will consist of voting faculty in the

233 department with the same and higher rank as the individual under consideration (excluding the
234 individual under review). For dispute resolution regarding annual reviews and workplans, the DFAC will
235 be composed of members of equal or higher rank than the faculty member under consideration
236 (excluding the faculty member of concern).

237 When a faculty member holds a position on the DFAC and FAC, the conventions of shared governance
238 are such that individual faculty members should vote on personnel decisions only once. A member of
239 the FAC shall vote in the DFAC consideration of a candidate. In the FAC's vote tally, the FAC member's
240 recorded vote shall be concurrent with the DFAC recommendation.

241

242 Part 2.3.2 JB Speed School Faculty Affairs Committee (FAC)

243 The FAC shall serve as the representative faculty body on all matters pertaining to promotion, tenure,
244 and, when necessary, career reviews. The charge, composition, and selection of the FAC are defined in
245 the Speed School Bylaws. When appropriate, it will advise the Dean and the faculty and prepare courses
246 of action. The FAC will function in an advisory capacity and none of its recommendations for promotion,
247 tenure, or career review will be considered binding on the Dean. The committee members have the
248 right to bring and discuss any matter relating to promotion, tenure, and career review before the FAC.
249 The committee has the right to obtain information as complete as possible on any matter brought
250 before it. The committee shall endeavor to obtain all relevant information required by The Redbook
251 about a candidate for promotion, tenure, or career review.

252 The FAC shall base its recommendations on a comparison of the record of accomplishment in the
253 evaluation file to the criteria which appear in The Redbook, this document, and their addenda. Members
254 should not act as advocates for any person or constituency, but rather as judges of the meeting of
255 criteria.

256 The FAC meetings shall be held strictly confidential and the committee's recommendations will be given
257 only to the Dean, the individual affected by the recommendation, and the individual's department chair.
258 The recommendation will also become a part of the promotion, tenure, and career review file.

259 The FAC shall act on any claim for promotion, tenure, or career review brought before it by a faculty
260 member, DFAC or department chair. Self-initiation of the claim shall not work to the detriment of the
261 candidate. However, the FAC will not act upon a request for promotion, tenure, or a career review
262 evaluation without prior referral to the appropriate departmental faculty committee and department
263 chair for recommendations. Such recommendations must be made in a timely manner (see Appendix 2).

264 As per the Speed School Bylaws, whenever a promotion, tenure, or career review evaluation must be
265 made for a member of the FAC, that member shall recuse from the committee discussion of the case.
266 The relevant academic department will provide a substitute selected by vote of the eligible department
267 faculty to provide representation only for this case.

268 When a faculty member holds a position on the DFAC and FAC, the conventions of shared governance
269 are such that individual faculty members should vote on personnel decisions only once. A member of
270 the FAC shall vote in the DFAC consideration of a candidate. In the FAC vote tally, the FAC member's
271 recorded vote shall be concurrent with the DFAC recommendation. The FAC member may fully
272 participate in the FAC discussions regarding the candidate.

273 Candidates for promotion and tenure may challenge the participation of no more than two members of
274 the FAC committee. If a majority of the remaining FAC members agree that the challenged members are
275 prejudiced against the candidate, the challenged members shall not participate in the recommendation.
276 In this case, the relevant academic department will provide a substitute selected by vote of the eligible
277 department faculty to provide representation only for this case.

278 **Section 2.4 Annual Reviews**

279 Part 2.4.1 Overview

280 All full-time faculty (tenured and non-tenured) will develop an annual work plan, annual faculty activity
281 report, and be provided with an annual review by their supervisor. The purpose of the annual review is
282 to provide feedback to the faculty regarding the prior year's work performance. The purpose of the
283 annual work plan is to define specific activities that will mutually benefit the faculty member,
284 department, and school.

285 Work plan and review are normally considered in tandem. The annual reviews shall become part of the
286 record for tenure and promotion files as well as periodic career reviews.

287

288 Part 2.4.2 Schedule

289 The specific dates associated with milestones throughout the development of the annual work plan and
290 the annual review process are identified in Appendix 4.

291

292 Part 2.4.3 Process

293 Faculty members will complete and submit their annual work plan and faculty activity report to the
294 department chair according to the schedule in Appendix 4. The form of the work plan and activity
295 report will be as directed by Dean of the J. B. Speed School of Engineering along with any additional
296 guidance adopted by departments for these submissions.

297 After receiving the faculty activity reports, the department chair shall evaluate each faculty member's
298 performance for the period. This evaluation will be based on the annual faculty activity report, merit,
299 and contributions to the missions of the department, the J.B. Speed School of Engineering, the
300 University, the profession and the community. The department chair will make every effort to ensure
301 uniform, objective and professional standards in assessing the submitted documentation.

302 The chair will evaluate the faculty member's performance in a range of effort categories based on a 0 to
303 6 rating scale system that defines performance as "none (rating of 0)", not proficient (rating of 1 or 2)",
304 "proficient (rating of 3 or 4)", or "exceptional (rating of 5 or 6)". The overall annual performance score is
305 calculated as the sum of the percentage weight in each effort category multiplied by the performance
306 score within the associated effort category. The overall annual performance review will be rated based
307 on the weighted score as "not proficient" (a rating of less than 2.5), "proficient" (a rating of 2.5 to less
308 than 4.5) and "exceptional" (a rating of 4.5 or greater).

309 Performance ratings of "not proficient" or "exceptional" must be explained. Performance ratings of
310 "proficient" require no justification. When the annual review identifies weaknesses and/or deficiencies,
311 the department chair's summary should include specific recommendations for improvement or for
312 possible adjustments in workload concentration.

313 Each faculty member will meet with the department chair to review the evaluation and proposed annual
314 work plan. It is anticipated that the chair will discuss the evaluation process and work with the faculty
315 member to define a mutually agreeable annual work plan. These meetings will be held by the date
316 specified in Appendix 4.

317 Once the faculty reviews are complete, the chair will forward the following information for each faculty
318 member to the Dean 1) the department chair's evaluation 2) the annual faculty work plan, 3) relevant
319 letters or supporting materials. Each faculty member will also receive a copy of their own evaluation and
320 annual work plan. This information may be transmitted electronically using the format adopted by the J.
321 B. Speed School of Engineering for these submissions.

322 The performance of department chairs will be evaluated as described above, but with the following
323 differences:

- 324 • The Dean will play the role of the department chair.
- 325 • Department chairs' workloads and evaluations for a given year will center on the
326 accomplishments of their administrative unit's mission and goals for the year. An annual review
327 of the department chair using faculty member metrics shall be used as part of the evaluation.
- 328 • Disagreements between the Dean and a department chair regarding the department chair's
329 workload or evaluation will be resolved by the University Provost, if necessary.

330

331 Part 2.4.4 Appeal Procedure

332 In the event a faculty member disagrees with either the evaluation or the annual work plan, the faculty
333 member may 1) provide a letter of rebuttal to the chair, and/or 2) involve the DFAC. If the faculty
334 member chooses to provide a letter of rebuttal, the chair will provide a copy to the Dean. The letter will
335 be maintained within the faculty member's personnel file and provided as a supplemental document for
336 periodic career reviews.

337 A faculty member may also request the involvement of the DFAC in the evaluation process. At the
338 faculty member's request, the department chair will forward all departmental faculty evaluations,
339 activity reports, annual work plans, relevant letters, and other requested supplemental information to
340 the DFAC. This committee will look for serious disparities in evaluations, workloads and examine any
341 letters of rebuttal. The DFAC will discuss its findings with the department chair within two weeks of
342 receipt of the materials. If concerns remain after this discussion, the committee and department chair
343 will write separate letters to the Dean, who shall assist in resolving the committee's concerns before
344 receiving the evaluations. Whatever the committee's concerns and whatever their state of resolution
345 when presented, the Dean has disposition authority for the matters under discussion. The committee
346 will then notify the faculty member and the department chair of the final disposition.

347

348 **Section 2.5 Periodic Career Review**

349 Part 2.5.1 Overview

350 All tenured faculty shall undergo a periodic career review (PCR) to evaluate their contribution to the
351 department, the J.B. Speed School of Engineering, the University, the profession and the community.
352 Teaching-track and Research-track faculty should also undergo PCR (Redbook Minimum Guidelines
353 Section V.D).

354 The J.B. Speed School of Engineering assumes that faculty will ordinarily discharge their professional
355 responsibilities by proficient performance in all areas of scholarship as specified in General Criteria
356 (Section 2.1) and in accordance with their annual work plans. Such holistic judgments should be made in
357 the context of departmental mission. In those unusual cases where this assumption is shown to be
358 mistaken, the review process provides a mechanism to support the faculty member by returning
359 performance to or above the level of proficiency specified in the departmental guidelines as required by
360 the J.B. Speed School of Engineering.

361

362 Part 2.5.2 Schedule

363 All tenured faculty shall undergo a periodic career review in every fifth year of service, in accordance
364 with Redbook 4.2.4. Teaching-track and research track faculty should also undergo a PCR after every 5
365 years of continuous service.

366 When the review period ends in a sabbatical or other leave, the career review shall be deferred until the
367 next academic year. A promotion shall replace a career review for the period in which the promotion
368 occurs. The specific dates associated with milestones throughout the periodic review process are
369 identified in Appendix 3.

370

371 Part 2.5.3 Process

372 The PCR begins with an initial review of faculty performance. The objective of this review is to identify
373 faculty who are or are not performing at a “satisfactory” level. If the initial review determines that
374 faculty are performing at a “satisfactory” level, the PCR evaluation is complete. If the initial review
375 determines that faculty are performing at an “unsatisfactory: not meeting department criteria” level,
376 then remediation plan is developed.

377 Copies of all evaluations, including any forms used, and all letters written by department chairs,
378 committees, individual faculty, or the Dean as described in this document shall be maintained by the
379 Office of the Dean of the J.B. Speed School of Engineering.

380 *A. Periodic Career Review:*

381 Both the chair and the DFAC will provide independent assessments of the faculty member. These
382 assessments will be based on annual reviews and the documentation supporting them (including a
383 current curriculum vita, faculty activity reports and annual workplans for the 5-year period). The DFAC
384 and the chair will render opinions regarding whether the faculty member’s performance over the 5-year
385 period is satisfactory or unsatisfactory. Per Redbook (Minimum Guidelines Section V.A), each evaluation

386 report shall characterize the member's contribution as "satisfactory: meeting unit criteria" or
387 "unsatisfactory: not meeting unit criteria" in teaching, research and service with due regard for the
388 faculty member's annual work plans during the period under review.

389 Under ordinary circumstances, proficient performance in teaching, research and scholarly activity, and
390 service, in areas specified in the annual work plans, will be deemed satisfactory. However, a satisfactory
391 rating does not necessarily require proficient performance in all areas in each year of the review period.
392 Some variation in satisfactory performance may be acceptable, arising from new teaching assignments,
393 administrative assignments, the initial development and preliminary stages of research, projects,
394 unusual service obligations, or other relevant and documented situations.

395 The DFAC will forward their recommendation and evaluation summary to the department chair. The
396 department chair will then send the chair's report and DFAC report to the Dean of the J.B. Speed School
397 of Engineering; copies will also be provided to the reviewed faculty member.

398 If both the department chair's evaluation and the DFAC's evaluation are positive, the review will be
399 complete, and the next five-year cycle will begin.

400 If either the chair's or the DFAC's evaluation is unsatisfactory, the faculty member may write a letter of
401 rebuttal and provide additional documentation to the Dean. The Dean will then review the chair and
402 DFAC evaluations and letters provided by the faculty member and make the final determination
403 whether evaluation is satisfactory or unsatisfactory. If the Dean determines that the faculty member's
404 performance to be satisfactory, the PCR will be considered complete. If the Dean agrees with either the
405 DFAC or Chair that the faculty member's performance is unsatisfactory, the Dean will write a letter to
406 the chair indicating that the faculty member will need to complete a remediation plan to address the
407 unsatisfactory evaluation. A copy will be sent to the faculty member under review and the DFAC chair.

408 *B. Periodic Career Review: remediation plan*

409 In general, the purpose of the remediation plan is to provide useful feedback and appropriate
410 intervention and assistance to those faculty members whose periodic career review was unsatisfactory.

411 The chair will work with the faculty member to develop a specific, written plan to overcome the
412 identified deficiencies. This plan will identify the specific weaknesses, define specific expected
413 outcomes, outline the activities that will be taken to correct deficiencies, set timelines for accomplishing
414 this work, and specify how the new activities will be monitored and assessed. The remediation plan
415 must not conflict with The Redbook (Section 4.2.4.B); that section also states that the plan is for one
416 year unless the Dean approves a longer period.

417 The chair will forward the written plan to the DFAC for review. The DFAC will then provide a
418 recommendation to the chair that the plan be accepted, modified, or rejected. The chair may modify the
419 plan based on the DFAC recommendations and in consultation with the faculty member, and will
420 forward the written plan to the Dean.

421 The Dean will give final approval to the plan by responding to the faculty member and department chair
422 in writing. Once the Dean approves the plan, the timeline associated with the corrective actions is
423 deemed to have started.

424

425 Part 2.5.4 Consequences

426 The faculty member’s plan will be monitored as part of the annual review. If the faculty member has not
427 achieved the stated goals of the plan within one year (or other timeline specified), and is again
428 evaluated as “unsatisfactory: not meeting unit criteria,” the documentation will be sent to the Dean for
429 further action.

430

431 Part 2.5.5 Appeal Procedure

432 A faculty member can appeal the results of a PCR, if and only if the disagreement meets at least one of
433 the causes stated in The Redbook (Section 4.4).

434

435 **Section 2.6 Pre-tenure reviews**

436 Part 2.6.1 Overview

437 Pre-tenure review, described in Section 4.2.2.G of The Redbook, is a procedure whose purpose is to
438 determine whether or not a faculty member is making satisfactory progress toward achieving tenure. A
439 positive pre-tenure review is not a promise of eventually granting tenure.

440

441 Part 2.6.2 Schedule

442 The pre-tenure review will take place prior to the end of the third year of service counted towards
443 tenure. No later than two months following completion of the 2nd year of service counted towards
444 tenure, the department chair shall inform the faculty member, in writing, that the pre-tenure review is
445 to take place. In the event that an individual’s career pattern does not fit the normal progression that
446 case shall be treated on its own merits. For example, in the case of an individual coming to the
447 University with three or more years of credit toward tenure), a pre-tenure review may not be necessary.

448

449 Part 2.6.3 Process

450 The department chair is responsible for the review. All such correspondence shall become a part of the
451 faculty member’s documentation.

452 The standard for a positive pre-tenure review shall be a determination that continuation of activity, as
453 documented, is expected to fulfill the stated tenure criteria as presumed by the department chair and
454 DFAC. In the event that the departmental evaluation is negative, the written evaluation must include
455 recommendations to the faculty member for changing the situation documented in the course of the
456 review. In accordance with The Redbook, Section 4.2.2.G, the pre-tenure review is not final until
457 approved by the Dean of the J.B. Speed School of Engineering.

458 Pre-tenure review shall involve an evaluation of activity in the areas outlined in General Criteria (Section
459 2.1). Standards of judgment for the areas of activity shall be the same as those outlined in Section 2.6,

460 and in departmental statements of criteria for tenure. For the purpose of pre-tenure review, extramural
461 review is optional. This option may be exercised by either the faculty member or the departmental
462 faculty activity committee. If pursued, the department chair shall specify the number of external
463 reviewers and the manner of their solicitation; the procedures specified in Appendix 5 may be used but
464 are not required. The record compiled for pre-tenure review shall be maintained intact as part of the
465 evidence to be considered in tenure review.

466 Part 2.6.4 Consequences

467 Pre-tenure review is a procedure whose purpose is to determine whether or not a faculty member is
468 making satisfactory progress toward achieving tenure. Thus, the pre-tenure review is informative only
469 and not binding on any aspect of the subsequent tenure evaluation.

470

471 Part 2.6.5 Appeal Procedure

472 A faculty member can appeal the results of the pre-tenure review, if and only if the disagreement meets
473 at least one of the causes stated in The Redbook (Section 4.4).

474

475 **Section 2.7 Promotion and Tenure**

476 Part 2.7.1 Overview

477 The process for assessing promotion and for assessing tenure are very similar and thus are presented
478 together within this section.

479 Faculty who have joint appointments in more than one department shall be evaluated by each
480 department.

481 The general process for promotion and/or tenure is that an evaluation file representing the candidate's
482 body of work will be assembled. The evaluation file will be forwarded to the DFAC for review, and the
483 DFAC will provide a written recommendation to be included in the evaluation file. After the DFAC have
484 made their recommendation, the chair will review the evaluation file and also provide a written
485 recommendation for the evaluation file. The FAC will then review the evaluation file and also provide a
486 written recommendation. The evaluation file, which includes the DFAC, Chair, and FAC
487 recommendations, will be forwarded to the Office of the Dean. The Dean of the J.B. Speed School of
488 Engineering will compile the unit recommendation and will forward the file to the Executive Vice
489 President and University Provost. The Provost will recommend appropriate action on the promotion
490 and/or tenure to the University President. The Board of Trustees (BOT) shall take final action to grant
491 promotion and/or tenure after an affirmative recommendation of the President.

492 Specific guidance information regarding promotion and tenure will be provided by the Provost and Dean
493 each year.

494

495 Part 2.7.2 Schedule for Tenure

496 Each faculty member eligible for tenure must be evaluated within twelve months after five years of
497 service applied to tenure. This process is described in Section 4.2.2.H of The Redbook. The five years of
498 service may extend longer than five calendar years in cases where extensions were granted as specified
499 in Section 4.2.2.C of The Redbook.

500 Completion of the probationary period with proficient annual performance evaluations and pre-tenure
501 review shall not, in and of itself, constitute sufficient grounds for tenure. Faculty members on
502 probationary status shall be affected by any amendments to or changes in the criteria for tenure
503 subsequent to their appointment. In such evaluations, appropriate consideration will be given to the
504 amount of time remaining in their probationary period when the change becomes effective.

505 Tenure may be recommended for persons whose initial appointment with the JB Speed School of
506 Engineering is at the rank of Associate Professor or Professor.

507

508 Part 2.7.3 Schedule for Promotion in Rank

509 For faculty members eligible for tenure, promotion to the rank of Associate Professor normally occurs
510 concurrently with the award of tenure, although these may take effect in different years. For Associate
511 Professor's, promotion to Full Professor can occur at any time when performance objectives have been
512 met.

513 For other faculty not eligible for tenure, promotion (if applicable) to subsequent rank can occur when
514 performance objectives have been met.

515

516 Part 2.7.4 Criteria for Tenure

517 Criteria for tenure in the J.B. Speed School of Engineering are based on the following areas (The
518 Redbook, 4.2.3.A and 4.2.2.F, respectively):

- 519
- Teaching

520

 - Research or creative activity

521

 - Service to the department, the J.B. Speed School of Engineering, the University, the profession
522 and the community.

523 For the award of tenure, materials representative of the faculty's work must be deemed proficient in
524 each category. Appendices V and VI provide guidance information regarding letters and materials. The
525 Dean may provide additional guidance information. If the Dean provides additional guidance
526 information, this information must be provided to the candidates within 14 days of the initiation date of
527 the promotion and tenure review as identified in Appendix 2. The Dean's guideline information shall be
528 made available to all JB Speed School of Engineering faculty.

529

530 Part 2.7.5 Criteria for Promotion in Rank

531 The General Criteria (Section 2.1) and the following specific criteria represent the minimum levels of
532 achievement for promotion to the following ranks:

533 Associate Professor - In order to be promoted to the rank of Associate Professor, the candidate shall
534 have shown evidence of having attained proficiency in teaching, research, and service, as defined in
535 their workplan. The evidence of proficiency must include extramural evaluation as specified in the
536 Redbook Minimum Guidelines (Section IV.D.5).

537 Professor - In order to be promoted to the rank of Professor, the candidate shall have shown evidence of
538 (a) having maintained proficiency in teaching, research, and service, as defined in their workplan; (b)
539 superior achievement in at least one of the three areas, consisting of teaching, research, and service;
540 and (c) having achieved professional recognition. The evidence of achievement in research, teaching,
541 service, and the evidence of professional recognition, must include extramural evaluation as specified in
542 the Minimum Guidelines (Section IV.D.5).

543 The level of performance above that specified in the Minimum Guidelines must be considered as well as
544 the general criteria listed above. Candidates should be considered individually and not in competition
545 with others. Seniority (normally six years in rank) is a consideration for all promotions, but lack of
546 seniority alone shall not be grounds for a negative recommendation.

547 Teaching-track or Research-track faculty may apply for promotion in rank according to the criteria of the
548 J.B. Speed School of Engineering. The resulting promotion reviews will be based upon the same
549 documentation, standards, and schedule used for probationary or tenured faculty at the same rank.
550 Promotion assessment will be based upon work effort and performance in the areas (i.e., teaching,
551 research/creative activity, and/or service) established in their annual work plans in effect during the
552 review period.

553

554 Part 2.7.6 Materials for Promotion and Tenure

555 The Chair is responsible for initiating the promotion and tenure review process. However, the DFAC or
556 faculty member may also initiate the process. The entity who initiated the review for promotion or
557 tenure (faculty member, department chair, or DFAC) shall be responsible for compiling the evaluation
558 file (tritych).

559 It is the responsibility of the individual under review to provide review materials that will create a
560 compelling promotion or tenure case. At a minimum, the tenure and promotion evaluation files should
561 contain relevant information in a format as requested by the Provost and Dean. Individuals under
562 review may include any material they wish in their file. The department chair and other reviewers may
563 also include other materials as long as they are made available to the individual and previous reviewers
564 within the J.B. Speed School of Engineering so that prior recommendations may be reconsidered.

565 Tenure and promotion files must be compiled with the cooperation of the faculty member under
566 review. A faculty member must be permitted to see, copy, and respond to the material in his or her
567 promotion and/or tenure file with the names and affiliations of the evaluators masked. Additionally, the
568 faculty member may add newly available material evidence for reconsideration by the previous

569 evaluators or rebuttals at any time before the file is advanced to the Executive Vice President and
570 University Provost (The Redbook 4.2.2.H.4).

571

572 Part 2.7.7 Process for Promotion and Tenure

573 Steps in the promotion and tenure evaluation procedure are described below. The schedule of dates for
574 the Promotion and Tenure process are provided in Appendix 2; these dates should normally be followed
575 unless otherwise agreed upon by the Dean and faculty member. Each year, after the Executive Vice
576 President and Provost has notified the Dean of the final date for receiving the files of nominees from J.B.
577 Speed School of Engineering, a schedule (consistent with Appendix 2) will be set for the remaining
578 evaluation steps. The Dean shall formulate the schedule, and it shall be disseminated in a timely
579 manner.

580 Promotion cases and early reviews for tenure may not be stopped except with the permission of the
581 faculty member involved per RedBook 4.2.2.E.3.

582 Promotion and/or tenure review cases are generally initiated by department chairs. The department
583 chair will send memoranda to the DFAC chair, Dean, and the FAC chair indicating the names of
584 departmental faculty members who are under consideration for promotion and/or tenure review. A
585 copy will also be sent to each faculty member under consideration. The department chair will compile
586 the evaluation file (trptych) in cooperation with the faculty member. Guidelines for evaluation letters
587 and solicitation of extramural review letters are in Appendix 5. The evaluation file will be sent to the
588 DFAC for review.

589 Alternatively, the faculty member may work with the DFAC or the FAC to initiate a review. In this case,
590 memoranda should be sent to the department chair, DFAC chair, Dean, and the FAC chair indicating that
591 the review has been initiated. The faculty member may compile the evaluation file in cooperation with
592 the DFAC or FAC (i.e., to solicit extramural review letters). The evaluation file should then be submitted
593 to the DFAC for review.

594 If the DFAC has not received a complete evaluation file prior to the cutoff date, the committee will
595 transmit a memorandum to that effect to the appropriate department chair, to the Dean, and to the
596 individual faculty member concerned. The faculty member will have 7 days to provide the missing
597 materials or provide a written response to be included in the evaluation file.

598 The DFAC will review the evaluation file and write a recommendation letter (Appendix 5) to be included
599 in the evaluation file. The DFAC will send the evaluation file to the department chair. The chair will
600 review the materials and also write a letter of recommendation to be included in the evaluation file.

601 The department chair will then forward the evaluation file to the FAC. A separate confidential copy of
602 both the recommendations of the DFAC, and of the chair will be forwarded to the individual faculty
603 member. The Dean will not be informed of either the DFAC's or chair's recommendations at this
604 juncture but shall receive a copy of the letter of transmittal.

605 The FAC will review the evaluation file and make its recommendations for promotion and/or tenure. The
606 FAC will include its recommendation in the evaluation file and then forward the file to the Dean. A

607 confidential copy of their recommendation will be forwarded to the faculty member under
608 consideration and to the appropriate department chair.

609 The Dean will review the evaluation file and make a recommendation for promotion and/or tenure. The
610 FAC will be advised of the Dean's recommendations on all promotion and tenure cases, and will be given
611 an opportunity to provide written responses to be included in the evaluation files before they are sent
612 to the Executive Vice President and University Provost.

613 Each individual being considered for promotion or tenure will receive a confidential copy of the Dean's
614 recommendation to the Executive Vice President and University Provost, and if applicable, a copy of the
615 FAC's response. The department chair will also receive copies.

616 The Dean will forward all evaluation files for promotion and tenure candidates to the Executive Vice
617 President and University Provost. Evaluation documents should be either paper or electronic as
618 specified by university or unit guidelines.

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620 Part 2.7.8 Appeal Procedure

621 A faculty member can appeal the results of this process according to procedures stated in The Redbook
622 (Section 4.4).

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Article 3 Conditions of Faculty Employment

The performance of each faculty member shall be evaluated in accordance with the annual review (see Section 2.4). The goals of these reviews are to reward performance in the short term, to reinforce desirable patterns of career advancement, and to foster the development of excellence in J.B. Speed School of Engineering. Performance evaluations shall be based on merit, including contributions to the missions of the department, J.B. Speed School of Engineering, and the University.

Evaluations of performance will be based on the annual work plans.

Section 3.1 Annual Work Plan

During the spring semester of each calendar year, each full-time faculty member shall develop an annual work plan that describes the distribution of effort planned for the calendar year. The steps to be used in the annual work plan development are described below; the dates for each step are specified in Appendix 4. The department chair will provide his or her faculty with a list of proposed instruction and other duties for the upcoming calendar year. Each faculty member then drafts an annual work plan agreement and submits it to the department chair. This plan shall define faculty activity based on teaching, research, and service.

Each faculty member in full-time status for the year must account for 100% of a full work load by allocation of effort. Justification for allocations of effort shall take the form of listing the activities (e.g., courses to be taught, committee assignments, etc.).

Annual work plans shall be initiated in the department where the faculty member holds primary appointment. For faculty appointed to administrative positions, annual work plans will be negotiated with the Dean or his/her representative and the individual.

The department chair shall evaluate the annual work plans and meet with each faculty member to negotiate a mutually agreeable plan. The plan should describe the faculty member's role in carrying out the mission and goals of the department while seeking to accommodate the individual's professional goals. If the department chair and faculty member cannot agree on an annual work plan, each shall submit a proposed plan and explanation to the DFAC for review. The DFAC may request copies of other approved departmental work plans in order to evaluate consistency and fairness. The DFAC will make a recommendation regarding a suitable faculty work plan and forward their recommendation to the chair. If the chair and faculty member still disagree, the proposed plans and explanations from the chair, faculty member, and DFAC will be forwarded to the Dean. The Dean will approve or modify the faculty member's workplan and distribute it to the chair and faculty member for implementation.

Annual work plans should be revised if a significant change in a faculty member's situation occurs. Annual work plans may be revised during the year only by mutual agreement.

In every personnel action, the accomplishments of the faculty member shall be reviewed against the background of the distribution of effort identified in the annual work plan for the period under review. Accomplishments in proportion to the allocation of effort to each area of activity shall be required.

660 All approved annual work plans shall respect both the individual faculty member's need to shape his or
661 her own career and the School's various needs. Annual work also must respect the limitations imposed
662 by budgets, specific department needs, and may require the faculty member to perform various
663 functions at different stages in his or her career.

664

665 **Section 3.2 Code of Conduct**

666 Part 3.2.1 General Criteria

667 As per the Board of Trustees policy regarding government of the university, every employee, in
668 conducting the affairs of the University of Louisville, is expected to comply with applicable federal, state,
669 and local laws as well as the policies and procedures of the University of Louisville.

670 The standards of conduct at the University of Louisville are identified in the University's Code of Conduct
671 and supported through policies, procedures, and workplace rules. Additional guidelines for Speed
672 faculty are described in Appendix 7. These documents provide guidance for making decisions and
673 memorialize the institution's commitment to responsible behavior.

674 Additionally, all faculty are expected to be guided by and comply with all principles and canons of their
675 particular professions and disciplines, and to adhere to their professional code of conduct and ethics. As
676 such, all J.B. Speed School of Engineering faculty are expected to act and behave appropriately, and in a
677 professional manner as they perform their university functions both on and off campus.

678

679 Part 3.2.2 Process

680 Failure to act in a professional, acceptable, or appropriate manner may embody many forms and
681 adversely affect the individual, department, school and/or university with varying levels of severity. The
682 purpose of this section is not only to provide a guide to resolve inappropriate conduct, but also to allow
683 adaptability for each unique situation.

684 *File a complaint*

685 Any J.B. Speed School of Engineering faculty, department chair, or Dean may initiate a code of conduct
686 complaint against any other faculty, department chair, or Dean within the school. (Grievances involving
687 staff and students must follow associated Redbook procedures.) Code of conduct complaints must be
688 submitted to the Dean in writing, signed, and dated. The complaints must identify the individuals
689 involved and the alleged inappropriate conduct, along with any evidence to support the claim and any
690 history of actions previously taken to attempt to resolve the misconduct.

691 Once the Dean receives a code of conduct complaint, the Dean must work to resolve the issue through
692 an informal or formal resolution process. The Dean is expected to work to resolve the code of conduct
693 complaint expeditiously. However, once a code of conduct complaint is filed with the Dean, the time
694 for resolution will depend on the specific details concerning each case.

695 If the Dean is the individual identified in the code of conduct complaint as having committed the alleged
696 inappropriate conduct, the complaint should be delivered to the Provost.

697 *Informal resolution*

698 If reasonable and possible, the Dean will work to resolve any code of conduct complaint through
699 informal means. This may involve discussions or facilitated dialogue between affected parties, or other
700 actions deemed appropriate. Any informal resolution to a code of conduct complaint must be
701 documented by the Dean, distributed to all affected parties, and maintained in records kept by the
702 Dean's office.

703 *Formal resolution*

704 If an informal resolution to a code of conduct complaint cannot be achieved, the Dean will work to
705 resolve the issue through a more formal means. A formal resolution process is generally appropriate for
706 more complex, or severe cases. The Dean may implement procedures and resources as necessary to
707 render a judgement and resolve the case. To formally conclude the code of conduct complaint, the
708 Dean must prepare a letter that addresses the following:

- 709 • Summarize the case including events, conduct and/or actions under review
- 710 • Summarize the resources utilized to assemble information relevant to the case (committees
711 formed, who was interviewed, etc.)
- 712 • Summarize the key information relating to the case (what are the critical components that must
713 be addressed)
- 714 • Identify metrics used to assess faculty behavior (whose code of conduct, which ethical standard
715 or canon).
- 716 • Render a clear opinion on whether the case violated the identified code(s) of conduct or other
717 metric.
- 718 • Identify sanctions, consequences or other remedial actions to be imposed

719 The Dean's letter resolving the code of conduct complaint must be provided to the complainant, all
720 affected parties, and maintained in records kept by the Dean's office.

721

722 Part 3.2.3 Consequences

723 Faculty who fail to adhere to the code of conduct may be subject to the following:

- 724 • Complete education or training.
- 725 • Receive a reprimand from the Dean into their personnel file.
- 726 • Liability for loss, damage or injury to the University or University property. This may take the
727 form of appropriate service and/or monetary or material replacement.
- 728 • Separation from the University for a definite period of time, after which the offending faculty
729 member is eligible to return. Conditions for return should be clearly specified by the Dean.
730 Suspension may be with or without salary (full or partial). Suspension without pay is subject to
731 approval of the Executive Vice President and University Provost as well as the President.
- 732 • Referral to the President of the university to consider/initiate dismissal for cause as specified in
733 Section 4.5.3 of the RedBook.

734

735 Part 3.2.4 Appeal Procedure

736 The Dean's decision may be appealed to the University-wide grievance committee as specified in Article
737 4.4 of the RedBook.

738

739 **Section 3.3 Compensation**

740 If there are funds for merit-based salary increments in a given year, increments for all faculty shall be
741 subject to the following guidelines and in accordance with Redbook Minimum Guidelines Sec III.B.

742 After distribution of salary increment funds to departments, the department chair will determine how to
743 allocate salary increments appropriate to faculty member performance and the size of the salary pool.

744 The chair will send a description and explanation of the policy for salary increments to the Dean for
745 approval. Only faculty whose overall performance is proficient (2.5 or greater) are eligible for a salary
746 increment. No departmental policy shall be implemented until approved by the Dean.

747 The Dean will inform each faculty member in writing of his or her salary increment. In the event a faculty
748 member is dissatisfied with his/her salary increment, the faculty member may submit a letter of appeal
749 to the chair who must forward this to the Dean. The Dean has dispositional authority.

750 Per Redbook Minimum Guidelines Sec. III.B.4.G, the dean shall report annually to the faculty and to the
751 Executive Vice President and University Provost the frequency distribution of the percentage salary
752 increases received by all faculty members in the unit and a description of the evaluation system used to
753 arrive at such salary increases.

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Article 4 Amendments

757 Amendments to this document must be approved by the J.B. Speed School of Engineering faculty. The
758 vote will be made by electronic ballot after discussion at a faculty meeting. Approval requires two- thirds
759 of those voting but no less than a simple majority of all the faculty. Amendments receiving sufficiently
760 many votes will be forwarded, as necessary, through appropriate channels to the Board of Trustees for
761 approval. Changes to the Appendices of this document do not require approval beyond the Speed
762 School Faculty.

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Appendix 1 Scope and Definitions

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Section App-1.1 Purpose

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The Redbook requires units to adopt policy and procedure documents on faculty appointment, promotion, tenure, as consistent with its Minimum Guidelines for Faculty Personnel Reviews (Addenda to Chapter 4 of The Redbook). Appendix 1 is intended to fulfill that requirement.

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Section App-1.2 Scope

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The criteria and procedures in this document apply on a school-wide basis, except that established departments may adopt procedures compatible with this document for processing their evaluations and recommendations. When, and if, such departmental procedures are developed, they should be made an addition to this document.

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Section App-1.3 Definitions

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Part App-1.3.1 Teaching

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Teaching includes all work that involves the use of the faculty's expertise to communicate subject matter and research expertise to students. Typically, teaching takes place in the classroom or through mentoring individual or small groups of students. Good teaching involves the ability to interact effectively with students. When teaching both undergraduate and graduate classes, pedagogical procedures must be carefully planned, continuously examined, and directly related to the subject taught. Good teachers stimulate active, not passive, learning, and encourage students to be critical, creative thinkers with the capacity to go on learning after their college days are over.

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As a scholarly enterprise, teaching begins with what the teacher knows. Those who teach must be, above all, well informed, and steeped in the knowledge of their instructional and research fields. Hard work and serious study underpin good teaching. Good teaching means that faculty, as scholars, are also learners.

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Part App-1.3.2 Research and Creative Activity

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For most faculty, research, basic or applied, is delving into some question in that faculty member's field and seeking to add to the reservoir of knowledge. Such endeavors not only result in the creation of knowledge, but also invigorate student-faculty relationships inside the classroom and out. Research includes the act of knowledge creation through the publication or dissemination of original or innovative theoretical, empirical, or creative work. The intellectual excitement and progress that are generated by research are vital to a university such as ours.

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798 Research also means making connections across the disciplines, placing the specialties in a larger
799 context, illuminating data in a revealing way, and/or educating non-specialists. There is a need for
800 scholars who give meaning to isolated facts by putting them in perspective. Research is also serious,
801 disciplined work that seeks to draw together, interpret, and bring insight to bear on new developments.

802 Research also occurs when one applies information, interpretation, or techniques characteristic of one's
803 discipline to consequential problems in the real world. The key to defining application is that the activity
804 must be tied directly to one's special field of knowledge and relate to one's professional activity.

805 Research and creative activities aimed at teaching involve not only transmitting knowledge, but
806 transforming and extending it as well. This is an important area of research that can lead to better
807 pedagogical practices.

808

809 Part App-1.3.3 Service

810 Service is the application of general academic expertise that results from experience as a university
811 educator, as when one participates in faculty governance within the university or when service activities
812 outside the university are linked to one's general academic expertise. Service is distinguished from
813 research in that service does not require that the activity be related to one's area of professional
814 expertise. Additionally, service does not include activities that one might engage in as a citizen of a civic
815 community, but is restricted to those activities required by the students, department, college, university
816 or profession.

817

818 Part App-1.3.4 Tenure

819 Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous full-time
820 employment without reduction in academic rank until retirement or termination as provided in Section
821 4.5.3 of The Redbook. Tenure is granted in an academic unit in accordance with the procedures
822 established in Section 4.2.2.8 of The Redbook.

823

824 Part App-1.3.5 Proficiency

825 Whenever used in this document, the word "proficient" shall be understood to mean "to satisfy capably
826 all the special demands or requirements of a particular situation, craft, or profession."

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828

Appendix 2 Promotion and Tenure Review Schedules

829 **Section App-2.1 Purpose**

830 The following schedules describe the review process for promotion and tenure cases. Should any date
831 fall on a holiday or weekend, the associated correspondence is due on the previous business day.
832 Reviews initiated by the department chair (DC) are referred to as standard reviews. Reviews initiated by
833 the faculty member (FM) or the department faculty activity committee (DFAC) are referred to as self-
834 initiated reviews and DFAC-initiated reviews, respectively. The DFAC in this usage is to be interpreted as
835 the subset of members comprising either the department tenure committee or department promotion
836 committee depending on the type of review (see Article 2). The Speed School Faculty Affairs Committee
837 is referred to below as the FAC.

838

839 **Section App-2.2 Standard Schedule for Promotion and Tenure Reviews**

840 This schedule applies for all promotion cases of faculty, and for tenure/promotion and tenure cases for
841 faculty with tenure dates falling between May 1 and November 30. For tenure cases that are not early,
842 the process timing is such that the triptych is delivered to the Provost on January 15th at least 1 year, but
843 not more than 2 years, prior to the tenure date.

844 Date* Correspondence Due

845

846 **Sep 1** Entity initiating review sends memo to DC, DFAC chair and FM indicating name of FM to be
847 reviewed. Copy sent to FAC chair and Dean.

848

849 **Oct 25** DC recommendation letter, DFAC letter, and complete evaluation file sent from DC to FAC.
850 Copy of DFAC letter and DC recommendation letter sent to FM. For tenure cases only: If DC
851 recommendation letter is negative, copy to FM must be sent to home address by certified
852 mail.

853

854 **Nov 15** FAC recommendation letter and evaluation file sent from FAC to Dean. Copy of FAC
855 recommendation letter sent to FM and DC.

856

857 **Dec 15** Dean notifies FAC regarding each promotion and tenure case recommendation. FAC has
858 opportunity to draft response letter and add it to the evaluation file prior to delivery of
859 triptych to the Provost. Copy of Dean's recommendation letter sent to FM and DC. For
860 tenure cases only: If the Dean's recommendation letter is negative, a copy must be sent to
861 the FMs home address by certified mail.

862

863 **Jan 15** Triptych sent from Dean to Office of the University Provost.

864

865 * If a date falls on a holiday or weekend, correspondence is due on the previous business day.

866

867 **Section App-2.3 Alternate Schedule for Tenure Reviews (with Promotion)**

868 This schedule applies for tenure/promotion and tenure cases for faculty with tenure dates falling
869 between December 1 and April 30. For tenure cases that are not early, the process timing is such that
870 the triptych is delivered to the Provost on September 1st at least 1 year, but not more than 2 years, prior
871 to the tenure date.

872 **Date*** **Correspondence Due**

873

874 **Feb 15** Entity initiating review sends memo to DC, DFAC chair, and FM indicating name of FM to
875 be reviewed. Copy sent FAC chair and Dean.

876

877 **Apr 10** DC recommendation letter, DFAC letter, and complete evaluation file sent from DC to FAC.
878 Copy of DFAC letter and DC recommendation letter sent to FM. If DC recommendation
879 letter is negative, copy to FM must be sent to home address by certified mail.

880

881 **May 1** FAC recommendation letter and evaluation file sent from FAC to Dean. Copy of FAC
882 recommendation letter sent to FM and DC.

883

884 **Jun 1** Dean notifies FAC regarding each promotion and tenure case recommendation. FAC has
885 opportunity to draft response letter and add it to the evaluation file prior to delivery of
886 triptych to the Provost. Copy of Dean's recommendation letter sent to FM and DC. If the
887 Dean's recommendation letter is negative, a copy must be sent to the FMs home address
888 by certified mail.

889

890 **Sep 1** Triptych sent from Dean to Office of the University Provost.

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892 * If a date falls on a holiday or weekend, correspondence is due on the previous business day.

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Appendix 3 Periodic Career Review Schedule

895 The following describes the periodic career review (PCR) schedule. PCRs are conducted on a five-year
896 cycle for all tenured faculty and Teaching-track/Research-track faculty during the Spring semester. This
897 schedule is designed to: 1) allow enough time for chairs to complete the most recent annual faculty
898 evaluations by March 15 so that they can be included in the PCR review process; and 2) to be completed
899 prior to the end of the spring semester. For more information of the PCR process, see Section 2.5 of this
900 document or Section 4.2.4 of The Redbook.

901	Date*	Correspondence Due
902	Feb 15	Dean’s Office notifies faculty member (FM) scheduled for PCR review as well as the associated department chair (DC).
903	Mar 1	FM sends updated Curriculum Vitae (CV) to DC.
904	Mar 15	DC sends CV and copies of previous five FM annual performance reviews, workplans, and faculty activity reports (including most recent year) to department faculty activity committee (DFAC).
905	Apr 1	DFAC sends the recommendation letter (including a summary of annual performance reviews) to DC.
906	April 15	The DC sends the recommendation letter and the DFAC recommendation to the Dean (copy to FM).
907	May 1	If applicable, Dean makes a decision whether a remediation plan is necessary.
908	June 1	If applicable, chair sends remediation plan to the Dean for approval.

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Appendix 4 Annual Work Plan and Review Schedule

The following describes the schedule for annual work plans and review. Annual work plans and annual reviews are conducted each year for all faculty. This schedule is designed to allow enough time for chairs to complete the most recent annual faculty evaluations by March 15 for incorporation into the PCR review process (if applicable).

- | Date * | Correspondence Due |
|---------------|---|
| Dec 20 | Department chair (DC) communicates with department faculty with list of proposed instruction and other duties for the upcoming calendar year. |
| Jan 20 | Annual work plan submitted by faculty member (FM). Any digital faculty effort reporting system in use by Speed School is updated by the FM. |
| Feb 15 | DC approves annual work plan that is mutually agreeable to DC and FM. |
| Feb 28 | FM submits activity report for previous academic year. |
| Mar 15 | DC completes annual review of FM. |
| Apr 1 | Meeting between DC and FM to discuss annual review of FM is completed. |

* If a date falls on a holiday or weekend, correspondence is due on the previous business day.

950

Appendix 5 Guidelines for Review and Evaluation Letters

951 Section App-5.1 Purpose

952 The following describes the procedures for solicitation of extramural review letters and guidelines for
953 evaluation letters by the department chair (DC), and department faculty activity committee (DFAC), and
954 Faculty Affairs Committee (FAC) in promotion and tenure cases.

955 Section App-5.2 Extramural Review Letters

956 The faculty member (FM), DC, and DFAC chair each have a role in completing this process. This appendix
957 does not provide a schedule but the steps below should be undertaken after careful consideration of the
958 dates outlined in Appendix 2 (Promotion and Tenure Review Schedules).

959 This procedure satisfies Section IV.D.5(a) of the Minimum Guidelines for Faculty Personnel Reviews
960 (Addenda to Chapter 4 of The Redbook, henceforth referred to as the Minimum Guidelines), which
961 states: "Each unit document must specify the process by which extramural evaluators shall be solicited.
962 This process shall be designed to certify the professional expertise and objectivity of the evaluators,
963 whose comments regarding the quality of the work under review shall be solicited along with
964 justification of those comments." The promotion and tenure process determines what constitutes
965 objectivity; however, it is stipulated that close colleagues, close collaborators, former mentors, co-
966 authors, and so on, are not generally considered objective evaluators. The FM and DC statements
967 regarding the suitability of potential reviewers may be used by the Speed School Faculty Affairs
968 Committee (FAC) to satisfy Section IV.D.5(c) of the Minimum Guidelines which states, in part, that "The
969 unit personnel committee shall provide a written analysis of the validity and significance of the
970 evaluations received." The FAC may choose, at its discretion, to create its own written analysis of the
971 extramural evaluators in place of the FM and DC suitability statements.

972 The steps for the extramural review letters are listed below. However, it is understood that individual
973 circumstances may require alteration of these steps; in such cases, the Department Chair (DC) should
974 discuss the matter with the Faculty Member (FM) and the DFAC chair, outline the proposed changes in
975 writing, and forward to the Dean for approval (with a copy to the FM, DFAC chair and FAC chair). If
976 possible, preference should be given to reviewers who are tenured (in tenure review cases), full
977 professors, and familiar with the candidate's research (if applicable).

- 978 • FM shall provide to the Department Chair (DC) a list of 4-6 potential reviewers, along with a
979 brief statement for each one as to why they are suitable to serve as extramural reviewers.
- 980 • DC shall provide to the FM a list of 4-6 potential reviewers, different from those suggested by
981 the FM, along with a brief statement for each one as to why they are suitable to serve as
982 extramural reviewers.
- 983 • DC and FM will review the combined lists and come to consensus regarding a list of 8-12
984 potential reviewers, eliminating and/or adding additional potential reviewers if necessary.
- 985 • DC requests about 6 extramural letters, selecting from the candidate's list and from the chair's
986 list in a manner of his/her choosing. The DC should prepare a list of names and affiliations of all
987 reviewers and a brief statement regarding their suitability and objectivity to be included in the
988 triptych. Solicitation letter(s) sent to reviewers should also be included in the triptych.

- 989 • If a potential reviewer declines, an additional review request should be sent, with the chair
990 selecting from the remaining potential reviewers by alternating between the FM and DC lists.
- 991 • The triptych must contain a minimum of 4 extramural review letters. The department chair and
992 the DFAC chair will determine when the period to receive extramural review letters has closed.
993 All letters received by this date will be included in the triptych, while any received after this date
994 may be discarded without consideration.
- 995 • The DFAC chair is responsible for adding the extramural review letters to the triptych; the
996 associated statement written about the reviewer’s suitability also becomes part of the record. If
997 the candidate wishes to review the triptych at any point, the names and affiliations of the
998 reviewers must be redacted from the candidate to ensure the confidentiality of the reviewers.
- 999 • Once the letter receipt period has closed, the DFAC chair will provide the candidate with a
1000 redacted document containing the external review letters. This will include a cover letter
1001 indicating that the FM has 7 days to respond, in writing, to the extramural review letters. If
1002 desired; the DFAC chair has the discretion to grant additional time if requested by the candidate.
1003 The FM’s written response to the extramural letters received in the allowed timeframe must be
1004 added to the triptych prior to consideration by the DFAC. The FM has the right to add a response
1005 at a later time but this will not alter any discussions or decisions that have preceded it.
- 1006 • Upon conclusion of the 7 day (or longer if agreed) extramural reviewer letter response period,
1007 the DFAC chair calls a meeting of the DFAC to consider the FM candidate further.

1008

1009 **Section App-5.3 DFAC Evaluation Letter**

1010 After the DFAC meets to discuss the FM candidate, the DFAC chair writes a letter to be included in the
1011 evaluation file. The letter should include:

- 1012 • Names of committee members
- 1013 • Committee recommendation regarding promotion and/or tenure along with vote count.
- 1014 • Summary of discussion and justification of committee vote regarding FM member performance
1015 in departmental criteria for teaching, research or creative activity, and service (Section 2.2). If
1016 any votes are negative, the letter should clearly state why the committee member(s) felt the
1017 candidate did not sufficiently meet criteria. Dissenting members may write a separate letter if
1018 desired to be included in evaluation file.
- 1019 • Comment on the suitability and objectivity of extramural reviewers

1020

1021 **Section App-5.4 Department Chair (DC) Evaluation Letter**

1022 The Department Chair must also provide a letter that evaluates the candidates promotion and/or tenure
1023 materials. The chair’s letter should include:

- 1024 • Provide a summary regarding suitability of external reviewers
- 1025 • Provide a summary discussion of the external reviewer’s evaluations
- 1026 • Overall recommendation of candidate for promotion or tenure

- 1027 • Discussion of research activities (as appropriate) including focus area, suitability for continued
1028 development, discussion of publications and suitability of journals, discussion of proposal and
1029 funding efforts, and other significant factors
- 1030 • Discussion of teaching activities (as appropriate) including teaching loads, effort, improvement,
1031 quality of instruction, and other significant factors
- 1032 • Discussion of service activities (as appropriate) including university, school, department
1033 activities, and other significant factors
- 1034 • Discuss any other relevant strengths and weaknesses of the candidate as appropriate

1035

1036 **Section App-5.5 FAC Evaluation Letter**

1037 After the FAC meets to discuss the FM candidate, the FAC chair writes a letter to be included in the
1038 evaluation file. The letter should include:

- 1039 • Names of committee members
- 1040 • Committee recommendation regarding promotion and/or tenure along with vote count
- 1041 • Summary of discussion and justification of committee vote. If any votes are negative, the letter
1042 should clearly state why the committee member(s) felt the candidate did not sufficiently meet
1043 criteria. Dissenting members may write a separate letter if desired to be included in evaluation
1044 file.
- 1045 • Comment on fairness and objectivity of reviews by extramural evaluators, DFAC, and DC.

1046

1047

Appendix 6 Guidelines for Promotion and Tenure Materials

1048 Section App-6.1 Purpose

1049 The criteria for tenure reviews and reviews for promotion in rank are specified in RedBook Section
1050 4.2.2.F and Section 4.2.3.A, respectively, as Teaching, Research or Creative Activity, and Service to the
1051 department, the J.B. Speed School of Engineering, the University, the profession and the community.
1052 The Minimum Guidelines for Faculty Personnel Reviews which is an addendum within Chapter 4 of the
1053 Redbook provides standards for the evaluation and review of the criteria.

1054 In addition to the university criteria, The J.B. Speed School of Engineering may also consider

- 1055 • Registration / licensure as a Professional Engineer or other forms of certification where
1056 appropriate
- 1057 • Overall professional development, including education and experience prior to University
1058 employment, and subsequent efforts to maintain and advance professional competency
- 1059 • University leadership capability and experience
- 1060 • Administrative assignments

1061 Ultimately, however, it is the responsibility of the individual faculty member to organize and present the
1062 most compelling evidence of their proficiency in each of the criteria. The following information is meant
1063 to provide additional guidance in this regard.

1064

1065 Section App-6.2 Evidence for Proficiency in Teaching

1066 Providing evidence for proficiency in teaching should begin with student evaluations in each course
1067 taught. This should include both detailed evaluations as well as a summary of the evaluations. The size
1068 for each course should also be given as part of this section. Student evaluations should not provide the
1069 sole criterion for evaluation of teaching. Other forms of evidence can include, but are not limited to,

- 1070 • Publications in peer reviewed journals, monographs, textbooks, conference proceedings, etc., on
1071 teaching pedagogy;
- 1072 • Evaluation of teaching based upon student questionnaires or mid-semester reviews, letters from
1073 current or former students, classroom visitations by chairs, colleagues, or other forms of peer
1074 review, or comments spontaneously received by the chair;
- 1075 • Syllabi and course material;
- 1076 • The submission of proposals and success in obtaining funding of research directed toward
1077 improved teaching methods and/or the acquisition of equipment and instrumentation to enhance
1078 teaching effectiveness.
- 1079 • Curriculum development,
- 1080 • Participation in faculty learning communities and other professional development opportunities,

- 1081 • Thesis and dissertation supervision, as well as mentoring students, part-time faculty, and junior
1082 faculty.

1083

1084 **Section App-6.3 Evidence for Proficiency in Research and Creative Activity**

1085 A significant source of evidence for proficiency in research and creative activity should come in the form
1086 of publications in peer reviewed journals, monographs, edited books, textbooks, conference
1087 proceedings, and technical reports. Discussion of papers should begin with a description of authorship
1088 ordering that is utilized in the faculty member’s field. It should also include a discussion of the key
1089 journals within the field of interest and a general range of impact factors for those journals. The letter
1090 from the DFAC or the Department Chair should corroborate these statements. A brief description and a
1091 highlight of each of the faculty member’s students in the author list should accompany each paper.
1092 Papers under review at the time should also be listed.

1093 Another significant source of evidence for proficiency in research is the submission of proposals and
1094 success in obtaining funding of research directed toward the discovery of new knowledge. Both single
1095 investigator and multi-investigator efforts can be used as evidence of these activities, especially in multi-
1096 disciplinary efforts where principal investigators on multiple-principal-investigator grants should be
1097 rewarded commensurately to those on single-principal-investigator grants. Discussion of proposals and
1098 grants should include the faculty member’s role and the percentage of the project ascribed to the
1099 individual.

1100 Proficiency in research also may be evidenced by any forum that demonstrates effectiveness in linking
1101 knowledge across fields of specialization. These would include but are not limited to presentations;
1102 computer courseware; public speeches, and television and radio presentations.

1103 Proficiency in research or creative activity may also be evidenced by: publications in peer reviewed
1104 journals, monographs, textbooks, conference proceedings, etc., on teaching methodology; and the
1105 submission of proposals and success in obtaining funding of research directed toward improved
1106 teaching methods and/or the acquisition of equipment and instrumentation to enhance teaching
1107 effectiveness.

1108 Additionally, proficiency in research or creative activity can be demonstrated through entrepreneurial
1109 activities directed at the discovery and commercialization of new knowledge. These activities can be
1110 demonstrated through technology disclosures and patents, licensing agreements, and the formation of
1111 start-up companies.

1112

1113 **Section App-6.4 Evidence for Proficiency in Service**

1114 Evaluations of service should be done in a manner similar to that for teaching and research to the extent
1115 possible. Most commonly, service does not automatically produce documentary results. Thus, written
1116 statements by witnesses, the people or organizations benefiting from the service, or colleagues
1117 evaluating such service may be obtained. Also included would be any products resulting from service

1118 activities along with evidence regarding the nature of the candidate's contribution. Minor activities,
1119 such as committee work of short duration, should have a less formal, aggregate evaluation.

1120 Evaluation of service should also incorporate work that the university or unit has asked faculty to
1121 perform but that is not necessarily rewarded within individual unit cultures; specific examples may
1122 include, but are not limited to, work on the University's and the unit's strategic goals, work on signature
1123 partnerships and other forms of community engagement.

1124

1125

Appendix 7 Guidelines for Code of Conduct

1126 Section App-7.1 Purpose

1127 The ethical principles and responsibilities of J.B. Speed School of Engineering faculty are organized
1128 around an individual faculty member's relation to teaching and students, scholarship, professional
1129 responsibilities, university, colleagues, and community.

1130 Section App-7.2 Responsibilities to Teaching and Students

- 1131 • To encourage the free pursuit of learning in students.
- 1132 • To hold before students the best scholarly standards of the disciplines.
- 1133 • To demonstrate respect for students as individuals, and to adhere to one's proper role as
1134 intellectual guide and counselor.
- 1135 • To make every reasonable effort to foster honest academic conduct and to assure that evaluation
1136 of students reflects their true merits.
- 1137 • To avoid any exploitation of students for private advantage and acknowledge significant
1138 assistance from them.
- 1139 • To protect student academic freedom.

1140

1141 Section App-7.3 Responsibilities to Research, Scholarship, and/or Creative Activities

- 1142 • To recognize the special responsibility for the advancement of knowledge.
- 1143 • To seek the truth and to state the truth as one sees it.
- 1144 • To improve scholarly competence.
- 1145 • To exercise critical self-discipline and judgment in using, extending, and transmitting knowledge.
- 1146 • To practice intellectual honesty.
- 1147 • To prevent intrusion of subsidiary interests in the freedom of inquiry

1148

1149 Section App-7.4 Responsibilities to the University

- 1150 • To be effective in teaching, research, scholarship and/or creative activities, and service.
- 1151 • To adhere to university policies and regulations.
- 1152 • To monitor the amount and character of any work outside the university, with due regard to
1153 responsibilities within it.
- 1154 • To give due notice to the university of pending interruption or termination of service.

- 1155 • To alert appropriate university offices about alarming or threatening behavior of colleagues and
1156 students.

1157

1158 **Section App-7.5 Responsibilities to the Colleagues**

- 1159 • To respect and defend free inquiry by associates, where in compliance with university regulations.
1160 • To show professional courtesy and respect for others in exchange of criticism.
1161 • To strive to be objective during the professional judgment of colleagues.
1162 • To accept a fair share of the responsibilities for the governance of the university.
1163 • To actively assist in the professional development of colleagues.

1164

1165 **Section App-7.6 Responsibilities to the Community**

- 1166 • To strive to conduct oneself as a responsible, productive member of the community, aware of and
1167 sensitive to the responsibilities and obligations placed on all citizens by a free society.
1168 • To make it clear in public statements that one’s personal opinions are one’s own and not those of
1169 the university.
1170 • To conduct one’s public and private lives so as to avoid bringing dishonor to oneself and the
1171 university.

1172

1173 **Section App-7.7 Scope and Jurisdiction**

1174 The J.B. Speed School of Engineering Code of Conduct applies to all Faculty Members, as defined in the
1175 RedBook. This Code of Conduct is in addition to and does not limit other processes and procedures for
1176 addressing conduct and employment issues as they relate to the University of Louisville at
1177 large. Enforcement of the Code of Conduct is bound by the Redbook, including termination policies in
1178 Redbook 4.5.

1179 Jurisdiction of the J.B. Speed School of Engineering generally shall be limited to conduct which occurs on
1180 the University of Louisville premises or at University of Louisville sponsored or supervised functions.
1181 However, J.B. Speed School of Engineering may take appropriate action, including, but not limited to,
1182 the imposition of sanctions under J.B. Speed School of Engineering codes of conduct against Faculty
1183 Members for conduct occurring in other settings, including off-campus, under the following
1184 circumstances:

- 1185 • If the faculty conduct threatens the physical safety of students, employees, visitors or any other
1186 members of the University of Louisville community,
1187 • If the faculty conduct interferes with or limit any person’s ability to participate in or benefit from

- 1188 the university's educational programs, activities or employment,
- 1189 • If the faculty conduct hinders the Faculty Member's ability to perform in the professional capacity
1190 of teacher or researcher
- 1191 • If the faculty conduct occurs when the Faculty member is serving in the role of a University
1192 employee at large.
- 1193

1194 **Section App-7.8 Inappropriate Conduct**

1195 Violation of the University of Louisville Code of Conduct is considered inappropriate conduct. Generally,
1196 the following will also be construed as inappropriate conduct:

- 1197 • Violation of Professional Ethics and professional guidelines that apply to the field of the Faculty
1198 member.
- 1199 • Any conduct that endangers the health or safety of any person
- 1200 • Any unreasonably interference with another person's ability to perform University duties
1201 including teaching, research, administration, or other University activities, including public service
1202 functions on or off campus.
- 1203 • Refusing or neglecting to perform reasonable assigned teaching duties, or quitting duties without
1204 due notice in accordance with the university rules and regulations.
- 1205 • Intentional and habitual neglect of duty in the performance of academic responsibilities.