

RECOMMENDATION TO THE BOARD OF TRUSTEES  
CONCERNING THE ARTS AND SCIENCES  
PERSONNEL POLICY AND PROCEDURES DOCUMENT

Academic & Student Affairs Committee – March 18, 2021  
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the revised Arts and Sciences Personnel Policy and Procedures Document, as [attached](#) herein.

BACKGROUND:

A detailed summary of revisions, attached, precedes the revised personnel document. The four changes are listed here:

**Item 1:** Remove language suggesting that term faculty members cannot accept outside fellowships or research opportunities. (page 3)

**Item 2:** Establish ranks into which term faculty members without terminal degrees can be promoted. (page 4)

**Item 3:** Expansion of tenure and promotion voting modalities in light of pandemic/remote work. (page 13)

**Item 4:** Revision to the tenure & promotion process for faculty members with joint appointments.

The revised document has been approved by the Arts and Sciences Faculty Assembly and the Faculty Senate.

The proposed changes were reviewed by the Provost's office and General Counsel. The Executive Vice President and University Provost joins the President in making this recommendation.

A [summary of revisions](#) precedes the revised personnel document.

COMMITTEE ACTION:

Passed     X    

Did Not Pass           

Other           

  
Assistant Secretary

BOARD ACTION:

Passed     X    

Did Not Pass           

Other           

  
Assistant Secretary

# Personnel Policy and Procedures

*(Note: Throughout this document, "department" is used as a generic term to include division or program.)*

## Article 1 - Faculty Appointments and Tenure

### Section 1.1 - Types of Appointments

- A. Any full-time faculty appointment shall be one of three kinds:
1. nontenurable (Section 1.2)
  2. probationary (Section 1.3)
  3. tenure (Section 1.4)
- B. Part-time appointments
1. Part-time faculty shall be those appointed by contract to teach specified courses or perform specific duties less than full time. The Dean may appoint or reappoint part-time faculty for each academic term at the convenience of the University on standard contract terms approved by the Executive Vice President and University Provost. No part-time appointment, continuation, or renewal thereof, regardless of assignment or seniority, shall result in acquisition of tenure or imply renewal for subsequent periods. Part-time faculty shall hold rank according to education and experience. Part-time faculty shall be reviewed in writing annually, and these evaluations will be maintained in the Dean's Office. Part-time faculty are not eligible for sabbaticals or other academic leaves. Part-time faculty may participate in university and unit governance as permitted by University and College Bylaws. Such service shall be accounted for and recognized in the individual contract.
  2. Ranks
    - a. In normal circumstances, persons appointed at the rank of Lecturer shall hold a graduate degree in the field in which they teach. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall, in any event, give promise of proficiency in teaching, or, if applicable, performing specific duties stipulated in their contract.
    - b. In normal circumstances, persons initially appointed at the rank of Senior Lecturer I shall hold the recognized terminal degree in the field in which they teach. Those holding the rank of Lecturer may be promoted to Senior Lecturer I on the basis of a record of proficient teaching, or, if applicable, service and / or research and creative activity in the College.

- c. Promotion to the rank of Senior Lecturer II recognizes exceptional performance in teaching or, if applicable, in service and / or research and creative activity.
3. Procedures for Evaluations for Promotion of Part-time Faculty
- a. Promotion may be considered after a part-time faculty member has held one rank for at least ten semesters in no fewer than five years in the College. (Summer teaching counts as one semester.) A part-time faculty member whose promotion is denied must wait at least four more semesters before requesting promotion again.
  - b. Part-time faculty initiate their promotion reviews by submitting to their department chair a promotion file that includes a curriculum vitae in standard College format, annual College merit evaluations, numerical teaching evaluations, peer reviews of teaching, and syllabi (if developed by the part-time faculty member); and, if applicable, promotion files may also include teaching awards, evidence of course or curriculum development and / or evidence of research and creative activity.
  - c. The promotion file is first reviewed by the department chair and then forwarded to the Dean for review. If the part-time faculty member responds to the chair's written evaluation, the response will also be forwarded to the Dean. The Dean will provide a written review of the evidence in the file. The part-time faculty member may appeal the decanal evaluation and recommendation. All evaluations and responses shall become a permanent part of the part-time faculty member's file.
  - d. The College of Arts and Sciences Personnel Committee will act as the College Committee on Appeals. Any part-time faculty member may request a review by the Arts and Sciences Personnel Committee of the Dean's decision on a promotion case. The result of that review will then be forwarded to the Dean as a recommendation.
  - e. The Dean of the College shall establish such guidelines and deadlines as shall be necessary to ensure uniformity, efficiency, and effectiveness in implementing the review and evaluation process. These guidelines, however, cannot create new policy but are restricted to administration of the current personnel policy. Such guidelines and any subsequent changes must be approved by the College of Arts and Sciences Personnel Committee.

C. Emeritus faculty

The honorary title of Emeritus faculty may be conferred upon retired faculty if requested by the department or unit faculty and the Dean, and if approved by the President and Board of Trustees. The University community can benefit greatly from Emeritus Faculty presence on campus and continued professional activities, including teaching, research, and service. Therefore, Emeritus Faculty should be provided library and email privileges and support facilities. They may also assist with undergraduate and graduate research projects and they may undertake primary supervision of new student research projects with the approval of the Dean.

D. Adjunct Faculty

Adjunct appointments are normally offered to persons who are not full-time faculty members of the College or Arts and Sciences but with whom the College or one of its departments wishes to establish a formal relationship. Adjunct faculty members are expected to have the same academic qualifications as member of the regular faculty, and they may hold rank from adjunct instructor to adjunct professor. Persons holding adjunct appointments may be chiefly employed by a school or university other than the University of Louisville, by the University of Louisville in a non-academic position, or by another organization. They are not normally compensated as adjunct faculty but may be compensated by contract for specific part-time services. Adjunct appointments are for terms of up to three years and they may be renewed.

**Section 1.2 - Nontenurable Full-Time Appointments**

A. Temporary Appointments

Temporary appointments to the various academic ranks are those made for less than one year or for special purposes. In no case shall temporary appointments or renewals result in the acquisition of tenure. Temporary faculty shall not be eligible for tenure or count toward time for acquisition of tenure, regardless of assignment or seniority. Temporary faculty are not eligible for sabbaticals or other academic leaves but will have access to the same grievance procedure as other full-time faculty. (See Redbook Appendix A)

B. Term Faculty Appointments

1. All nontenurable full-time faculty who do not hold temporary appointments will be called Term Faculty.
2. Term faculty shall be full-time faculty appointments without tenure for a stipulated contract period not to exceed three years. Such appointments are not probationary appointments and no such appointments, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent terms. Term faculty are not eligible for sabbaticals.
3. Term faculty may be funded through general funds, restricted funds, or clinical revenues. The number of term faculty appointments funded through general funds must be fewer than 20 percent of the total number of probationary and tenured appointments in the College.
4. Term faculty appointments may be renewed at the pleasure of the University if the Chair of the department and the Dean determine that the services of the incumbent are needed for the renewal term.

5. Faculty on term appointments may apply for and be appointed to probationary appointments.
6. Term faculty shall meet the minimal standards for probationary appointment at the designated rank, although specific variation in assignments may be designated in the contract and specified in the Annual Work Plan.
7. Participation in College Governance shall be specified in the College By-Laws.
8. Working with the department Chair, term faculty shall present an Annual Work Plan for the approval of the Dean. The work plan shall specify the responsibilities of the faculty member for teaching, research and creative activity, service, and other institutional obligations for the faculty member's presence on campus.
9. Annual review of term faculty shall be initiated by the designated departmental review committee and shall follow the process for annual review of probationary or tenured faculty. Assessment for annual review shall include teaching, research and creative activity, and service, but review shall consider only those areas assigned in the Annual Work Plan.
10. Term faculty whose annual reviews attest to their proficiency shall receive a salary increase as outlined in the Dean's Guidelines.
11. Promotion in rank may be considered after a term faculty member has served five years in rank. Procedures for the promotion of term faculty shall be the same as for probationary or tenured faculty (see sections 2.2 and 2.3). Criteria shall include proficiency in teaching, research and creative activity, and service, but only the areas included in the contract or in the Annual Work Plan will be assessed. A term faculty member who does not hold the terminal degree (Instructor) may be promoted to the rank of Senior Instructor I. Candidates who are eligible for further promotion in accordance with the College of Arts and Sciences policies (that is, after five years in this rank) may be promoted to the rank of Senior Instructor II. These ranks mirror those designated for term faculty members who possess the terminal degree (A) Instructor [Term]:Assistant Professor Term; B) Senior Instructor I: Associate Professor Term; and C) Senior Instructor II: Professor Term) but apply to term faculty members who do not possess the terminal degree or its equivalent.
12. Extramural review shall be required for promotion for those term faculty whose annual work plans include research and creative activity.
13. Term faculty will have access to the same grievance procedure as other full-time faculty. (See Redbook 4.4 Appendix A.)

### **Section 1.3 - Probationary Appointments**

#### **A. Definition**

Probationary appointments shall be appointments of full-time faculty members without tenure other than those described in Section 1.2, provided, however, that no probationary appointment to the College shall extend beyond the period when tenure is normally granted (Section 2.2).

#### **B. Instructors**

Probationary appointments to the rank of instructor shall be made only under extraordinary circumstances. If such appointments are made, they will be for stipulated terms of one year each and the persons appointed as instructors shall have completed all work required for the award of the required terminal degree in their area of specialization, with the exception of the thesis or dissertation. They shall, in any event, give promise of proficiency in teaching, research and creative activity, and service.

#### **C. Assistant and Associate Professors**

Probationary appointments to the rank of assistant or associate professor shall be for stipulated terms not to exceed two years for the initial appointment, nor three years for appointments made thereafter.

In normal circumstances, persons appointed as assistant professors shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall, in any event, give promise of proficiency in teaching, research and creative activity, and service.

In normal circumstances, persons appointed or promoted to the rank of associate professor shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall have shown evidence of having attained proficiency in teaching, research and creative activity, and service, and shall give promise of continuing performance at proficient levels in these areas. The evidence of both proficiency and continuing promise of proficiency in research and creative activity shall include extramural evaluation.

#### **D. Professors**

Professors shall be awarded tenure if employed subsequent to the initial probationary period. In normal circumstances, persons appointed or promoted to the rank of professor shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research,

scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall show evidence of having attained proficiency in teaching, research and creative activity, and service and of superior achievement and recognition in at least one area and shall give promise of continuing performance at or above such levels. Evaluation of scholarship shall include extramural evaluation.

## **Section 1.4 - Tenure Appointments**

### **A. Definition**

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

### **B. Tenure Recommendations**

Recommendations concerning the award or denial of tenure shall originate in the faculty of the College. In normal circumstances, tenure shall be recommended for persons promoted to the rank of associate professor or professor who already hold academic appointment in the College of Arts and Sciences. Tenure may be recommended for persons whose initial appointment in the College is at the rank of associate professor or professor. Persons recommended for tenure shall hold the recognized terminal degree in their field of specialization or shall present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. Persons recommended for initial appointment as associate professor or professor shall meet the criteria stipulated for promotion to those ranks. Waivers or accords about credit toward tenure shall be stipulated in the letter of offer.

### **C. Establishment of Tenure Date**

For probationary appointments, the date of mandatory tenure and the number of years of previous full-time service to be counted toward acquisition of tenure shall be stipulated by the Executive Vice President and University Provost and agreed to in writing by the nominee before the appointment is made by the Board of Trustees.

## **Article 2 - 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.

## Section 2.1 - Annual Reviews

### A. Areas of Activity

The personnel reviews of the College 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 College of Arts and Sciences. 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. Procedures

1. Every faculty member and instructor of record shall be reviewed annually.
2. The following policies apply to the review of full-time faculty.
  - a. 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. The reviews will be preserved in the Dean's Office and the individual faculty members will be responsible for maintaining the documentation supporting each annual review for all future reviews.
  - b. 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. Probationary and tenured faculty are entitled, upon their request, to extramural review in annual review. The Dean's Office shall announce in its Annual Calendar of Deadlines the date by which such documentation must be received.
  - c. Annual review may take into account career patterns of accomplishments as reflected in the curriculum vitae and in any submitted statement of progress.
  - d. 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 copies of 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.

3. Each part-time faculty member must provide materials to a designated department administrator who will submit a performance evaluation to the Dean. Copies of results of student evaluations for all courses taught at the University of Louisville during the review period must be submitted, along with other materials to be determined by the department. Each part-time faculty member will be provided the performance evaluation in writing and shall be given the opportunity to respond to the evaluation and to any recommendations for improvement. The reviews will be preserved in the Dean's Office.
4. Annual review of Graduate Teaching Assistants is the responsibility of the graduate program in which they are enrolled. Copies of results of student evaluations for all courses taught at the University of Louisville during the review period must be reviewed, along with other materials to be determined by the graduate program.
5. Each faculty member will be informed of the performance evaluation in writing at each step of the process and shall be given the opportunity to respond to the evaluation and to any recommendations for improvement or for salary increases so that timely adjustments may be made before the Dean's final recommendation.
6. Faculty who have administrative appointments shall be reviewed for their administrative services as well as for their other faculty responsibilities. Such reviews will be initiated by the department and will involve consultation with appropriate faculty and administrators. Each department shall develop specific policies for the evaluation of Chairs. These must include gathering specific assessments of the Chair's performance from individuals such as the Dean. The department Chair, together with the department personnel committee, will be responsible for identifying such individuals. The form of such reviews shall be established within the Dean's Guidelines. These evaluations must be incorporated into the annual review of that individual.
7. In cases where a faculty member has a joint appointment, the annual review will be conducted in accordance with procedures established in the Dean's Guidelines.
8. A minimum of three tenured faculty members will serve as the department personnel committee. No person may participate during deliberation of his or her own case. If it is impossible to form a qualified committee of three faculty members in a given department, that committee will be augmented. The chair of the personnel committee shall submit to the Dean a list of proposed members from the College and the Dean will make the selection. The reviewee has the right of peremptory challenge up to the number of three before such list is submitted to the Dean.
9. Department committees, Chairs or the Dean may request to see evidence of performance at any stage of the review process.

C. Distribution of Funds

1. Two percent (2 percent) of the annual-review money allocated to the College will be used to accommodate successful appeals. Any funds remaining from this 2 percent will be distributed to the departments as outlined in C.2.

2. The Dean will distribute the remaining annual-review money allocated to the College for full-time faculty as a uniform percentage of the year's base full-time faculty salary for each department, unless some alteration in that uniform percentage is warranted by changes in the department's relative level of performance. Any changes shall be made in consultation with the Personnel Committee and the Planning and Budget Committee.

The Dean shall report to the faculty and to the Executive Vice President and University Provost the frequency distribution of the percentage salary increases received by all faculty members and describe the evaluation procedure used to determine these increases. Recommendations for awards will be based on a system that defines overall performance as (1) not proficient, (2) proficient, (3) highly proficient, and (4) exceptional.

After distribution of annual-review funds to departments (as determined in C.2.), awards to individuals will be made according to the approved department policy. No department policy shall be implemented until approved by the College Personnel Committee and the Dean.

3. Each department shall recommend the reward associated with each category of performance in accordance with the system developed by that department. No reward shall be given for an overall performance of "not proficient." No department shall recommend annual awards that total more than the funds allocated to it under C.2.
4. A recommendation by the Dean for no salary increase must be submitted to the Executive Vice President and University Provost for approval, and must include reasons that performance is considered unsatisfactory, as well as specific suggestions for improving performance. In the case of appeals of recommendation for no salary increase, the entire review file shall also be forwarded to the Executive Vice President and University Provost.
5. The College Personnel Committee will act as the College Committee on Appeals. Any faculty member may request a review by the Personnel Committee of the Dean's decision on an annual review. The result of that review will then be forwarded to the Dean as a recommendation.
6. Each year, when funds are received by the College for pay raises for part-time faculty, these funds must be used for that purpose. The Dean may also designate funds under his or her discretion for that purpose.

## **Section 2.2 - 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.

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 word "proficient" shall be understood to mean "having satisfied capably all the special demands or requirements of a particular situation, craft, or profession."

2. Teaching

Proficient teaching stimulates active learning and encourages students to be critical, creative thinkers. It is carefully planned and continuously examined. Regardless of its setting, proficient teaching uses faculty expertise to deepen the way students understand the subject matter. Student evaluations must be complemented by a recent peer review of teaching effectiveness and other relevant evidence. Examples of such evidence may include, but are not limited to, teaching awards, course syllabi and other instructional materials, and evidence of mentoring students.

3. Research and Creative Activity

Research and creative activity is the process of expanding scholarly or creative work in one's discipline. Proficient research and creative activity is innovative; it illuminates present experience and knowledge. Evidence of proficiency in research and creative activity includes articles, books, exhibitions, grants, performances, presentations at conferences, and reports. In cases where the AWP's require particular forms of activity, evidence of proficiency in such particular activities must be presented.

#### 4. Service

Service includes those tasks that are required for the functioning of the department, college, university, community, or profession. Community work that does not draw upon one's professional expertise is not included. Evidence of proficiency in service includes letters of recognition, performance evaluations, and other documentation.

#### G. 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 (e.g., the case of an individual coming to the University with three or more years of credit toward tenure) 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 outlined in Section 2.2.F. Standards of judgment for the areas of activity shall be the same as those outlined in Section 2.2.F, and in department statements of criteria for tenure. 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.

#### H. Evaluation for tenure

1. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied to tenure. Completion of the probationary period with positive annual performance evaluations and pretenure review shall not in and of itself constitute sufficient grounds for tenure.
2. Faculty members on probationary status shall be affected by any amendments to or changes in the criteria for tenure subsequent to their appointment. In such evaluations,

appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.

3. If the recommendation of the Executive Vice President and University Provost, the Dean, or the Chair of the department is negative, the faculty member must be notified by certified mail. The faculty member may request a hearing before the University Faculty Grievance Committee. Any such request must be delivered on or before the tenth working day following notification by certified mail.

#### I. Procedures for Reviews and Evaluations for Tenure and Promotion

1. Before any formal consideration or recommendation goes forward there must be consultation with the reviewee and with all bodies charged with the formal conduct of the review to that point.
2. Faculty members have the right to initiate their own reviews, except as that right is restricted by the Redbook.
3. When a Chair of a department is under review for tenure or promotion the relevant committee will include among its members one member of the faculty within the College but external to the home department of the person under review. The Dean shall appoint that member of the committee.
4. Chairs initiate reviews for promotion and tenure by letter of notice to relevant committees, the Dean, and the Arts and Sciences Personnel Committee. At every stage of the review the candidate will have the opportunity to review all materials in the record, except for the identities of extramural reviewers.
5. All evidence entered in review must be submitted to the Dean with the Chair's recommendation. It is essential that the report of the department personnel committee, including the department vote and any minority report, accompany the Chair's recommendation. Once initiated, a promotion review or review for early tenure may not be stopped, except with the permission of the reviewee. A promotion or tenure review file must be compiled with the assistance of the faculty member, and the faculty member is allowed to add newly available evidence for reconsideration by the previous evaluators before the file is advanced to the Office of the Executive Vice President and University Provost. The file shall be closed, and no further evidence may be added to it after the file has reached the Office of the Executive Vice President and University Provost.
6. Evaluation of research and creative activity requires extramural review. The Dean shall solicit extramural referees chosen from a list of professionally expert and objective evaluators compiled and agreed upon by the reviewee and the reviewee's Chair.
7. Letters soliciting extramural reviews shall follow models drafted by the College personnel committee.

8. At each level of review there must be a letter of recommendation which includes a written evaluation of all evidence regarding teaching, research and creative activity, and service. At each level the reviewee has the right to respond to the evaluation. All such responses shall become a permanent part of the file under review.
9. In tenure and promotion cases, after examination of the evidence, each probationary and tenured faculty member in a department shall have a single vote, and the Chair shall report the vote numerically. Individual departments may narrow these voting eligibility rules by rank and/or tenure status. Any alteration must be approved by a two-thirds majority of the department's tenured and tenure-track faculty members and must be incorporated into its personnel policy, which is then subject to approval by the College Personnel Committee and the Dean. A department that has made such a change may elect to return to the standard A&S voting rules on tenure and promotion (with all probationary and tenured faculty eligible to vote); such a change must be approved by a simple majority of the department's tenured and tenure-track faculty members and is subject to approval by the College Personnel Committee and the Dean.

An eligible faculty member may have to choose whether to vote as a personnel committee member, administrator, or as a member of the department at large. A faculty member on a joint appointment whose dual departments match those of a jointly appointed candidate for tenure and/or promotion may vote in only one of those departments.

Ordinarily, department votes shall be by written ballot not marked with name, rank, tenure status, or other identifying information. The ballots shall become a permanent part of the file under review. Departments may agree to gather votes electronically (as in other college elections) as long as the electronic instrument provides for confidential and recordable voting, with votes reported anonymously, unmarked by rank, tenure status, or other identifying information. The instrument must ensure that only those who are eligible may cast votes and that no one can vote more than once on a given case.

10. A minimum of three tenured faculty members will serve as the department personnel committee to review every personnel action for tenure or promotion. In departments that have narrowed voting eligibility in tenure and promotion cases, in any given year, the committee must include three faculty members eligible to vote on the cases under consideration. Any person scheduled for review for promotion or tenure may not serve on the department personnel committee during the academic year in which the review takes place. If it is impossible to form a qualified committee of three faculty members from a department, that committee will be augmented. The chair of the department personnel committee will submit to the Dean a list of proposed members from the College and the Dean will make the selection. The reviewee has the right of peremptory challenge up to the number of six before the list is submitted to the Dean.
11. Joint appointments include 1) official, Board of Trustees (BOT)-approved appointments specified in the original Letter of Offer, and 2) ad-hoc arrangements between two departments (sometimes referred to in individual departments as "affiliate faculty").

- i. BOT-approved joint appointments

If a faculty member has appointments in multiple departments within the College of Arts and Sciences by action of the BOT, each of those units will evaluate his or her tenure or promotion file bearing in mind the percentage of the faculty member's appointment in each department. The department of primary appointment will initiate the review process and oversee the creation of a review file, and the complete dossier of the candidate for tenure and/or promotion will be made available to all departments involved in the review. In each of the departments, a recommendation will be prepared by the personnel committee, a faculty vote will be conducted, and a chair's report will be prepared. The reviews can take place simultaneously and the reports from all departments will be inserted into the candidate's review file prior to sending it on to the Office of the Dean.

In cases where the secondary appointment is 25% or less, the candidate may elect an alternate procedure in which one member from the secondary department shall be appointed to the personnel committee of the primary department for review of the case. This additional member will be selected by the Dean of the College from a list submitted by the Chair of the second department after the reviewee exercises his or her right to peremptory challenges, the number of which shall not exceed 50 percent of the faculty of the second department. The additional member will serve only in the evaluation and recommendation of the reviewee covered by this provision to the policy. In addition, the Chair of the second department shall write a letter of recommendation based on the reviewee's participation in that department. This letter, along with relevant evidence (for example, student evaluations, extramural reviews, etc.), shall be placed in the personnel file prior to review of the case by the department Chair of the primary department.

In either scenario, once the review file reaches the Office of the Dean, the review will continue as in the case of a faculty member with an appointment in only a single department. If the reviewee has an appointment involving the College of Arts and Sciences and another academic unit within the University, the A&S department involved will conduct its review in accordance with the policy and guidelines for tenure and promotion reviews in the College and, to the extent possible, the College will cooperate with the other University unit involved to facilitate its review.

In all cases, the Chairs of the relevant departments will collaborate on the creation of the Annual Work Plan (AWP) from the time of the initial appointment so that the departmental expectations and the faculty member's responsibilities in each department are transparent and equitable, particularly in the area of Service.

ii. Ad-hoc interdepartmental arrangements

A faculty member whose principal appointment is in one department but who contributes to the teaching, service, or research and creative activity of a second department on an ad-hoc (non-contractually obligated) basis is entitled, upon the faculty member's request, to be reviewed for personnel actions with the participation of the second department. Upon the faculty member's request, the review file will be made available to the chairperson of the second department, and the chairperson of the second department shall write a letter of recommendation based on the reviewee's participation in that department. This letter shall be placed in the personnel file prior to the review of the case by the chair of the department of principal appointment.

12. The Dean of the College shall establish such guidelines and deadlines as shall be necessary to ensure uniformity, efficiency, and effectiveness in implementing the review and evaluation process. These guidelines, however, cannot create new policy but are restricted to administration of the current personnel policy. Such guidelines and any subsequent changes must be approved by the College personnel committee.

### **Section 2.3 - Promotion in Rank**

#### **A. Criteria for Promotion from Associate Professor to Professor**

1. The candidate for promotion shall present evidence of having attained proficiency in teaching, research and creative activity, and service, and of superior achievement and recognition in at least one area and shall give promise of continuing performance at or above such levels.
2. All evaluations for promotion in rank shall take into consideration a faculty member's annual work plans during the period of review. Evaluation of research and creative activity shall include extramural evaluation.
3. Whenever used in this document, the word "proficient" shall have the meaning specified in Section 2.2.F.
4. Whenever used in this document, "superior achievement and recognition" shall be understood to mean "having attained distinction, as recognized by one's peers, in a particular situation, craft, or profession."

#### **B. Procedures for Reviews and Evaluations for Promotion in Rank**

1. Each faculty member shall be reviewed for promotion in rank according to procedures specified in Section 2.2.I.

### **Section 2.4 - Periodic Career Review**

The College assumes that faculty will ordinarily discharge their professional responsibilities by proficient performance in the areas of teaching, research and creative activity, and service and in accordance with their annual work plan (AWP). The periodic career review process examines evidence and reviews compiled over a five-year cycle.

#### **A. Faculty with Tenure**

Tenured faculty members shall undergo career review after every fifth year of service. When the review period ends in a sabbatical (or other leave), the periodic career review shall be deferred until the next academic year. A promotion shall replace a periodic career review.

Within thirty days of a periodic career review that identifies areas of deficiency, a faculty member, in consultation with the Chair or the Dean, shall prepare a career development plan, acceptable to the Dean, to remedy deficiencies within one year unless the Dean approves a

longer period.

B. Periodic Career Review: Stage 1

1. Each department personnel document will include a statement of expectations for "proficient performance" by tenured faculty. This statement will form the basis for periodic career reviews. Statements will be reviewed by the Dean to insure consistency with the mission of the College. After approval, each department will submit the statement to the Arts and Sciences Personnel Committee.
2. Annual reviews, the documentation supporting them, and a current curriculum vitae will be used as the evidentiary basis for periodic career reviews. The department Chair will review the five prior annual reviews. If a faculty member has four or five satisfactory reviews, the department Chair will forward a positive recommendation to the Dean of the College.
3. If a faculty member has more than one unsatisfactory review during the five-year period, the Chair will inform the department personnel committee so that the Chair and the department personnel committee can identify problems. If the department personnel committee and Chair do not think that mitigating circumstances account for the deficiencies, they will recommend a Stage 2 review. The recommendations of the department personnel committee and Chair will be forwarded along with the summary of the review period to the College Personnel Committee. The documentation supporting the recommendation, for instance, annual review letters and the evidentiary base from which they were written, will be made available to the College Personnel Committee if requested. The College Personnel Committee will review materials and other requested documentation and forward their recommendation to the Dean.

C. Periodic Career Review: Stage 2

1. Stage 2 review will focus on tenured faculty who were selected for review during Stage 1. In general, the purpose of this review is to provide useful feedback and appropriate intervention and assistance to faculty members who have not met expected performance criteria.
2. The department Chair will inform those subject to Stage 2 review. The faculty member will compile a triptych containing detailed information pertinent to the review. This information will in all cases include: (1) an up-to-date curriculum vitae, (2) annual reviews and annual work agreements for the past five years; (3) Stage 1 documentation and recommendations. Other evidence may also be included by the faculty member or may be requested by any of the reviewing bodies. If requested by the faculty member or the department Chair, any materials may be sent out for extramural review, following all procedures in the Arts and Sciences Personnel Policy and the Dean's Guidelines.
3. The department personnel committee will review all documentation and reviews and make a recommendation to the department Chair. The department review must reflect the nature of the individual's field of work and must conform to fair and reasonable standards for performance. Also, in all cases, the College Personnel Committee should

- be provided with copies of department expectations for proficient performance.
4. The department review should identify strengths and weaknesses of the faculty member and define specific goals or outcomes that would help the faculty member improve. The faculty member then can review and rebut this recommendation. All documentation is then forwarded to the Chair. The Chair will respond in writing to the documentation provided by the department committee, and with the faculty member develop a specific plan to overcome deficiencies. This plan will specify expected outcomes and outline the activities that will be taken to correct deficiencies.
  5. All documentation will be forwarded to the Arts and Sciences Personnel Committee for review, and its recommendation that the plan be accepted, modified, or rejected will be sent to the Dean. The Dean will make the final decision regarding the plan. The evaluation process, including the approval of the plan by the Dean, shall be completed in thirty calendar days following identification of the deficiency.
  6. The faculty member will be given one year to satisfy the requirements of the plan, unless the Dean approves a longer period. If the faculty member completes the professional development plan, the faculty member shall then have one year to demonstrate satisfactory performance. The Dean shall institute another career review. A faculty member whose performance is judged unsatisfactory in this second review shall be subject to appropriate disciplinary action, which may include proceedings for termination.
  7. A faculty member can appeal this process, following all procedures outlined in The Redbook, Arts and Sciences Personnel Policy, and the Dean's Guidelines.

## **Article 3 - Conditions of Faculty Employment**

### **Section 3.1 - Annual Work Plan and Presence at the University**

- A. 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 agreements 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 an 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 workload. 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 at least ten percent of annual effort' this standard shall be the basis for the allocation of effort for all activities. 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 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.

**B. Presence at the University**

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). The Dean may require college faculty to report two weeks before Fall classes begin and continue in actual attendance until two weeks after the end of the final examination period in the Spring except when an approved AWP provides otherwise.

**Section 3.2 - Compensation**

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).

**Section 3.3 - Work Outside the University**

See Redbook Article 4.3.3.

**Section 3.4 - Paid Tutoring**

No one shall receive any compensation for tutoring students in a course in which that person is empowered to grant the student credit or over which he or she may exercise authority.

**Section 3.5 - Sabbatical Leave**

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

## **Article 4 - Resolution of Disagreements**

See Redbook Article 4.4.

## **Article 5 - Termination of Service**

See Redbook Article 4.5.

## **Article 6 - Personnel Documents**

Criteria in department personnel policy statements shall be consistent with the College personnel policy. Departments that wish to specify additional requirements must receive approval from the College Personnel Committee and the Dean, but those requirements cannot contradict College policy.

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