

1 **College of Education and Human Development**
2 **University of Louisville**
3 **Personnel Policies and Procedures**

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5 The Personnel principles of the College of Education and Human Development are established by
6 Chapter 4 of *The Redbook*. This unit document is founded on those principles and details the criteria,
7 standards and procedures used within the College, subject to *The Redbook*.
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9 **PREAMBLE**

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11 The current edition of *The Redbook*, which contains the general personnel policies and
12 procedures of the University of Louisville, establishes the faculty's shared responsibility for such
13 matters. The faculty of the College of Education and Human Development endorses the 1966
14 *Statement on Government of Colleges and Universities*, promulgated by the American
15 Association of University Professors, the American Council on Education, and the Association of
16 Governing Boards of Universities and Colleges. The *Statement*, which represents the generally
17 accepted standards of "appropriately shared responsibility and cooperative action among the
18 components of the academic institution," will be used as a guide for interpreting the particular
19 articles of the following personnel policies and procedures, especially when disputes arise
20 regarding application of the policies and procedures.
21

22 Faculty should be aware of their responsibilities regarding shared governance, and should be
23 encouraged to participate. At the same time, the colleges and schools should regularly re-
24 evaluate their committee structures, adding, changing, or dissolving committees to make sure
25 that they are serving present governance needs effectively. Also, it is important that in-service
26 training is conducted for new faculty and other interested faculty members to acquaint them with
27 the concepts, policies, practices, and procedures of faculty governance. New faculty orientation
28 might be the best time for this purpose.
29

30
31 **THE PERSONNEL COMMITTEE**

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33 The Personnel Committee shall advise the dean on all personnel matters affecting the faculty:
34 appointment, promotion, tenure, salaries, individual personnel problems, and general personnel policies
35 and procedures.
36

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- 38 • The Personnel Committee shall advise the dean and make recommendations at the dean's request or
39 on the Committee's own initiative. The Committee may act upon the recommendation of one of its
40 members or upon being petitioned by a faculty group or an individual faculty member.
 - 41 • The Personnel Committee shall meet privately to consider matters involving individual faculty
42 members and shall make its recommendations regarding these matters in writing to the dean, who
43 shall meet with the Committee to hear the reasoning of its members before taking action contrary to
44 the Committee's recommendations.
45
 - 46 • The dean shall provide the Personnel Committee with complete information on any matter brought
47 before the Committee. The dean shall inform the Personnel Committee of all administrative decisions
48 on matters which the Committee has discussed and on which it has made recommendations. The
49 dean shall then inform the faculty member concerned and the faculty member's department
50 chairperson of the Committee's recommendation and the dean's decision. These results shall be
51 recorded by the Committee secretary.
52
 - 53 • Any member of the faculty may, upon written request, appear before the College Personnel
54 Committee to discuss any personnel matter affecting the faculty member and to ascertain the
55 Committee's recommendation in the case.
56
 - 57 • The Personnel Committee shall keep discussions and recommendations confidential if they involve
58 individual faculty members; however, the Committee, in session, may in matters of fact finding, elect

59 to seek additional input from faculty and/or administrators not on the committee.
60

- 61 • Before making a negative recommendation regarding a faculty member's tenure decision, the
62 Personnel Committee shall invite the faculty member to meet with the Committee.
63
- 64 • The Personnel Committee's recommendations on all personnel matters shall be presented to the
65 dean with a clear and concrete explanation, and a copy of this recommendation shall be provided to
66 the faculty member concerned and the faculty member's department chairperson.
67
- 68 • The Personnel Committee and its individual members shall communicate and consult with individual
69 faculty members and with the faculty as a whole regarding personnel practices, procedures, and
70 policies in the College.
71
- 72 • The Personnel Committee may invite any faculty member who is leaving the university to make a
73 written statement (or to meet with the Committee) regarding the College's personnel practices,
74 procedures, and policies.
75
- 76 • Personnel decisions in the College of Education & Human Development shall be based on evidence
77 collected, organized, and presented by faculty members undergoing review, in cooperation with their
78 department chairperson. It is the responsibility of each person being reviewed to provide useful
79 information which will facilitate the decision-making process, and it is the responsibility of each person
80 involved in the review process to protect the integrity of the review file (the triptych or other review
81 portfolio).
82
- 83 • At all stages of the review process within the College of Education & Human Development, reviewers
84 shall assess the same body of evidence.
85
- 86 • Once the review file has been compiled and while it is being reviewed within the department, it is in
87 the custody of the department chairperson, who shall control access to the file.
88
- 89 • Once the review file has been forwarded to the dean via the College Personnel Committee, it is in the
90 custody of the dean, who shall control access to the file while it remains in the College of Education &
91 Human Development.
92
- 93 • Once the review file has been compiled, no additional evidence (as distinct from the recommendation
94 of reviewers or rebuttals by the faculty member undergoing review as provided for in this document)
95 shall be added to the review file unless it is made available to all reviewers.
96
- 97 • Recommendations of reviewers and any other material added to a candidate's review file shall
98 become part of the file. The candidate may examine any material in the file, but the person who has
99 custody of the file shall ensure that the candidate is not informed of the identity of evaluators.
100
- 101 • The faculty member undergoing review shall be informed in writing of any evidence or charge of
102 misconduct that has been included in the review file and shall have the opportunity to respond in
103 writing to such evidence or charge. The faculty member's written response or a written statement that
104 the faculty member has declined to respond shall be included in the review file and shall be made
105 available to all reviewers.
106
- 107 • Faculty members undergoing review may appeal decisions of the dean in accordance with
108 procedures established in *The Redbook*.
109

110 **Article 1.0 Faculty Appointments and Tenure**

111 **Sec. 1.1 Types of Appointments**

112 The College follows the policies and procedures stated in *The Redbook* (See 4.1.1 and specifics under
113 4.1.2, 4.1.3, and 4.1.4):
114
115
116

- 117 A. A. Full-time faculty *appointment* shall be one of three kinds: 1) nontenurable, 2)
118 probationary, or 3) permanent tenure
- 119
- 120 B. Part-time faculty shall be appointed by contract to engage in specified instruction, research or
121 service/administration. Part-time faculty ~~role shall be one of two kinds: 1) lecturer~~roles and titles
122 ~~are as follows: If part-time faculty is hired to teach, title shall be 1) adjunct instructor or 2) senior~~
123 ~~lecturer, if hired to teach: adjunct professor.~~ If Part-time faculty is hired to engage in research,
124 title shall be 1) a ~~researcher~~research scientist or 2) a senior ~~researcher~~research scientist. If part-
125 time faculty is hired to supervise ~~or perform service/administratively duties~~, title shall be 1) a
126 ~~supervisor~~coordinator or 2) a senior ~~supervisor~~coordinator. These ~~two~~ classifications shall be
127 based on part-time faculty's academic qualifications, experience or seniority. Part-time faculty
128 appointments shall not be eligible for tenure or count toward time for acquisition of tenure.

129

130 Part-time faculty may be elected to the Faculty Senate and may be appointed or elected to
131 university or CEHD committees as specified by the contract. College of Education & Human
132 Development shall specify to which extent part-time faculty may serve on CEHD committees.
133 Part-time faculty shall not be given committee assignments without remuneration and all such
134 service shall be recognized and accounted for in Part-time faculty's contract.

135

136 Part-time faculty shall be included in the development of their performance criteria and the
137 process for changing status from ~~a lecturer~~an adjunct instructor to ~~senior lecturer~~; a
138 ~~researcher~~an adjunct professor; a ~~research scientist~~ to a senior ~~researcher~~research scientist;
139 and a ~~supervisor~~coordinator to a senior ~~supervisor~~coordinator. These criteria shall be noted
140 in part-time faculty's contract and annual workplan.

141

142 ~~The College of Education and Human Development shall provide electronic or other form of~~
143 ~~notice of part-time teaching opportunities to hire the most qualified part-time faculty and make~~
144 ~~the hiring process as open as possible.~~

145

146 ~~These criteria shall be noted in part-time faculty's contract and annual workplan. The~~ criteria for
147 appointment and promotion of part-time faculty shall focus on the specific work expectations of
148 the faculty member (i.e., teaching, service, research).
149

150

151 Part-time faculty in CEHD shall only be judged on their specific work expectations. The criteria in
152 each area shall be the same as those for tenure and promotion of tenure-track faculty, although
153 only one or two work expectations may be evaluated. Part-time faculty shall be reviewed
154 annually in writing and these reviews shall be maintained in the office of the Dean.

155

156 The criteria for appointment and promotion of part-time faculty shall focus on the specific work
157 expectations of the faculty member (i.e., teaching, service/administration, research). The College
158 of Education and Human Development shall provide electronic or other form of notice of part-time
159 teaching opportunities to hire the most qualified part-time faculty and make the hiring process as
160 open as possible.

- 161
- 162 C. Emeritus appointments, either part-time or full-time, should originate in the departments. A
163 department personnel committee recommendation along with the recommendation of the chair
164 should be sent to the CEHD Personnel Committee, ~~which will~~who in turn ~~will~~ make their
165 recommendation to the CEHD Dean. The department's recommendation should include a
166 narrative summary citing the professional accomplishments and record of the university service of
167 the retiring faculty member. The Dean will then forward a recommendation to the Provost. This
168 recommendation must be approved by the President and the Board of Trustees.

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170 **Sec. 1.2 Nontenurable Full-Time Appointments**

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A. Temporary Appointments

1. Temporary appointments to the various academic ranks may be made for specifically limited time periods less than one year or for special purposes. In no case shall a temporary appointment or a renewal thereof result in the acquisition of tenure.

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B. Term Faculty Appointments

1. ~~Term~~ Term faculty appointments pursuant to Redbook Section 4.1.1 are available in two types: Clinical faculty appointments and research faculty appointments. Clinical and research faculty may be appointed for a contract period not to exceed 3 years. Such appointments shall not be tenurable. No ~~term~~ clinical or research contract, continuation, or renewal shall result in the acquisition of tenure or imply renewal for subsequent terms.

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2. ~~Term~~ 1. Clinical faculty appointments are faculty appointments that may be funded through general funds, restricted funds, or clinical revenues. Research faculty appointments are faculty appointments funded through external grants, contracts, or other research allocations.

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2. Clinical faculty appointments are available at the following ranks: Lecturer, Senior Lecturer, Distinguished Lecturer, Assistant Clinical Professor, Associate Clinical Professor, and Clinical Professor. Clinical faculty perform teaching, research, service, and/or administrative functions in academic, clinical, or field settings in connection with an established academic program of the College.

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a. Clinical faculty appointments at the ranks of Lecturer, Senior Lecturer, and Distinguished Lecturer shall hold, as a minimum, a master's degree and successful experience in clinical or professional practice in a field of specialization in the academic program to which he/she is appointed.

b. Clinical faculty appointments at the ranks of Assistant Clinical Professor, Associate Clinical Professor, and Clinical Professor shall hold, as a minimum, an earned doctorate or other appropriate terminal degree, or be working towards completion of an earned doctorate with a reasonable expectation of completion within the initial appointment period, in a field of specialization in the academic program to which he/she is appointed.

3. Research faculty appointments are available at the following ranks: Assistant Research Professor, Associate Research Professor, and Research Professor. Faculty appointed at the rank of Assistant Research Professor, Associate Research Professor, and Research Professor shall hold, as a minimum, an earned doctorate or other appropriate terminal degree in a field of specialization in the academic program to which he/she is appointed. Research faculty appointments shall have a minimum workplan assignment of 60 percent in Research.

3.4. ~~The~~ The contract renewal review by the Dean shall serve as the periodic career review of ~~term~~ Clinical and Research faculty. The College's bylaws specify issues regarding participation and franchise in unit governance.

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4.5. A nontenurable faculty member shall be eligible to apply for and be appointed to a tenurable position. The Provost's letter of appointment shall state whether and to what extent the new appointment shall consider time served in nontenurable status as prior service (Section 4.1.2.B.4 of *The Redbook*).

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Sec. 1.3 Probationary Appointments

A. Definition

No probationary appointment to the University shall extend beyond the period when tenure would normally be granted (Section 4.2.2).

- 230 B. Instructors
231 Probationary appointments to the rank of ~~instructor~~Instructor shall be for stipulated terms of one
232 year each.
233
- 234 C. Assistant and Associate Professors
235 Probationary appointments to the rank of Assistant or Associate Professor shall be for stipulated
236 terms not to exceed two years on the initial appointment, nor three years for appointments made
237 thereafter.
238
- 239 D. Professors
240 Professors shall be awarded tenure if employed subsequent to the initial probationary
241 appointment.
242

243 **Sec. 1.4 TenureContinuous Appointments (Tenure)**
244

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- 245 A. Definition
246 Tenure is the right of full-time faculty personnel who hold academic rank to continuous full-time
247 employment without reduction in academic rank until retirement or termination.
248
- 249 B. Administrators
250 Administrative personnel who have acquired tenure are subject to the regulations herein on
251 tenure and the provisions governing termination only in their capacities as faculty members.
252
- 253 C. Tenure Recommendations
254 Recommendations concerning the award or denial of tenure shall originate in the faculty of the
255 academic unit in which tenure is to be granted.
256
- 257 D. Establishment of Tenure Date
258 For probationary appointments, the date of mandatory tenure and the number of years of
259 previous full-time service to be counted toward acquisition of tenure shall be stipulated by the
260 Provost and agreed to in writing by the nominee before the appointment is made by the Board of
261 Trustees.
262

264 **Article 2.0 Faculty Performance: Standards and Definitions**
265

266 The standards articulated in this section are fundamental to all faculty personnel decisions and
267 particularly to decisions involving promotion and tenure, which are the basis of the most comprehensive
268 evaluation of faculty performance.
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272 **Sec 2.1 Teaching**
273

274 Teaching is the guiding of University of Louisville students in the acquisition of knowledge, attitudes,
275 skills, and dispositions. Teaching is broadly understood to include all the activities in which a faculty
276 member is engaged in efforts to instill knowledge, improve skills, or foster attitudes and dispositions in
277 students. Therefore, multiple criteria to be used to evaluate teaching include ~~not only classroom~~
278 instruction, but also field supervision and visitations, the various forms of individualized instruction,
279 student advising and counseling, as well as developing and refining courses, programs, and curricula. It
280 also includes the directing of master's theses, specialist professional papers, doctoral dissertations, and
281 mentoring of students in interdisciplinary programs. Faculty are expected to work collaboratively with
282 students, colleagues, practitioners, and other persons within and outside the university in their teaching
283 activities.
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286 **Sec 2.2 Service**
287

288 Faculty engage in service activities when they make their academic or professional expertise available to
289 others in the university, the profession, the local community, or beyond the local community. Service is
290 the application of knowledge in one's particular discipline or field of study; service is the application of
291 general academic expertise that results from experience as a university educator, as when one
292 participates in faculty governance within the university or when service activities outside of the university
293 are linked to one's general academic expertise; service may also include the development of knowledge,
294 insight, or new intellectual understanding that results from applying one's particular academic expertise in
295 service activities. Faculty are expected to work collaboratively with students, colleagues, practitioners,
296 and other persons within and outside the university in their service activities.

298 **Sec 2.3 Research or Creative Activity**

299
300 Research or Creative Activity may include empirical ~~or~~, theoretical, or applied research. Basic research
301 requires no other justification than the intrinsic good of knowing and understanding. ~~Applied research~~
302 ~~seeks to affect practice and/or policy in education and human development.~~ Research may also
303 establish connections across the disciplines (multidisciplinary), reveal to specialists and nonspecialists
304 alike the larger context of knowledge, and interpret the original research in one's discipline or field.
305 Research and creative activity also undergirds effective teaching and facilitates communication of the
306 knowledge of one's discipline or field to students. Faculty are expected to work collaboratively with
307 students, colleagues, practitioners, and other persons within and outside the university in their research
308 or creative activities.

310 **Sec 2.4 Overall Expectations**

311
312 Unless otherwise specified in this document, all personnel reviews will be defined by proficient
313 performance in the three standards articulated in *The Redbook* as well as above. All faculty will be
314 expected to perform at a proficient level with respect to each of these three standards and, in promotion
315 and tenure decisions (also see criteria in 3.0).

318 **Article 3.0 Faculty Personnel Reviews**

320 **Section 3.1 Reviews of Faculty**

321
322 In addition to initial reviews at the time of appointment, all College of Education & Human Development
323 faculty are reviewed for various purposes and at various times during their careers. Career reviews of
324 tenurable faculty include annual review, pre-tenure review, review for tenure and promotion to Associate
325 Professor (which normally occur concurrently), review for promotion to Professor, and periodic career
326 review, ~~and other performance.~~ Career reviews ~~for~~of faculty with nontenurable term appointments include
327 annual review, and reviews for promotion as provided in The Redbook, Sections 3.2 and 3.4.

329 A. Appointment Reviews (see also criteria in 1.1)

- 331 1. The department chairperson, after consultation with the department faculty, recommends to
332 the dean the person to be appointed as well as title and rank.
- 334 2. The dean submits the recommendation to the College Personnel Committee for its advice.
- 336 3. The dean makes a recommendation to the Provost informing the department chairperson and
337 the College Personnel Committee of its contents.

339 **Sec. 3.2 Annual Reviews**

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341 Annual reviews of all faculty in the College of Education & Human Development are to be completed.

343 A. Criteria for Annual Review

- 344 1. Definition of Eligibility for Annual Review

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Each Department Chairperson will, in collaboration with the faculty of that department and with the approval of the Dean, develop the performance objectives and criteria upon which the Annual Review salary increases will be determined and these performance objectives and criteria shall be reflected in the work plan as required in the Redbook. Performance objectives and criteria in each Department shall be based upon the department's mission statement and objectives, the College of Education and Human Development's mission statement and objectives, and the standards of faculty performance in sections 2.0, 3.3 and 3.4 of the College of Education and Human Development's "Personnel Policies and Procedures." These standards refer both to specific forms of products that can be included as well as provide parameters for consideration of the quality of the work which shall be a core element of reviews.

Evaluations should be weighed according to the percent work effort in each area of the work plan. Faculty who anticipate assignments that are so different from College norms that they require different criteria should propose in writing such criteria as a part of their Annual Work Plan. When this occurs the Plan must be reviewed by the Department and College Personnel Committee to check for alignment and adherence to University-wide minimum guidelines and unit specific criteria and approved by the Chairperson and Dean during the Annual Review process. It is the responsibility of the faculty member to provide evidence of the quality and impact of his or her teaching, research, creative activity, and service. The Annual Work Plan will be included in the materials submitted for the review.

2. Purpose

- a. The primary purpose for establishing a set of Annual Review salary increase procedures is to formalize and actively encourage faculty development and productivity in teaching, service, and research and creativity.
- b. A secondary purpose is to recognize and reward those who meet and exceed Department and College expectations. A faculty member who demonstrates optimal performance on the work assignment should be eligible for the maximum salary increase specified by the unit's merit policies such that if a faculty member's work assignment is heavily weighted toward teaching or service and optimal performance is demonstrated in those areas, he or she should be eligible for the maximum salary increase.

B. Procedures

- 1. Chairpersons will meet annually with each full-time faculty member to conduct an Annual Review that is based on the allocation of effort reflected in the work plan and criteria in sections 2.0, 3.3, and 3.4 of the College of Education and Human Development's "Personnel Policies and Procedures" document as called for above. A faculty member is defined as anyone holding a full-time, probationary or tenured appointment in a department. Those individuals who are on term appointments are evaluated annually to determine the quality of their performance in assigned areas. Faculty performance will be evaluated as either not satisfactory, ~~"satisfactory but needs improvement"~~, satisfactory, or the appropriate category of meritorious as described below. Part-time instructors whose principal employment is in another unit or is outside the university will not be subject to this review. All other part-time faculty will be reviewed in the same manner as these appointments but will not receive written feedback.
- 2. Each full-time faculty member will prepare and submit to his or her Chair a written Annual Review narrative no later than January 15. Faculty who fail to turn in annual reviews by the deadline without prior written approval from their chair, the dean, or without extenuating circumstances may not be eligible for a salary increase.
 - a. The Annual Review will include evidence of accomplishments of the preceding calendar year in the areas of Teaching, Service, and Research and Creative Activity. Chairpersons will base their reviews upon the materials and self-assessment provided by the faculty member and other documentation placed formally in the faculty member's file consistent with the Preamble and College personnel committee process and will judge faculty accomplishments

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404 by the specific allocation of effort agreed to as part of the prior year's Annual Work Plan,
405 including both the attainment of the products and quality of the products as called for in that
406 work plan as well as the execution and quality of role assignments that appear in the work
407 plan (See Article 4.0). It is the responsibility of the faculty member to provide evidence of the
408 quality and impact of his or her teaching, research, creative activity, and service. The Annual
409 Work Plan will be included in the materials submitted for the review.

410
411 The Annual Review meetings between faculty members and Chairs will commence by
412 January 15 and be completed by March 1.

- 413
414 b. Each faculty member and his or her Chairperson will discuss the Annual Review
415 materials and will examine evidence related to the specific performance indicators agreed
416 upon as part of the prior year's Annual Work Plan.

417
418 The Chairperson will prepare a written recommendation to be forwarded to the Dean. The
419 recommendation shall state whether, in the Chairperson's judgment, the faculty member's
420 performance has been: not satisfactory, ~~satisfactory but~~ needs improvement, satisfactory,
421 meritorious, or highly meritorious and the recommendation shall be specific regarding
422 weaknesses and deficiencies (if any), as well as suggestions (if any) for improvement and
423 possible adjustments in work load. The faculty member being reviewed shall receive a copy
424 of the Chairperson's recommendation which shall include the reminder that "the performance
425 evaluation recommended is not final until they meet with the other Chairs, the Dean and
426 her/his designated senior staff to merge the Annual Reviews of all faculty into the
427 performance categories" as is called for in part 3.2.B.2.d below.

428
429 Written recommendations shall be placed in the faculty member's College mailbox. The
430 Chairperson shall also notify the faculty electronically of the availability of the written
431 recommendation in their mailbox at the College of Education and Human Development. The
432 Chairperson should also offer to send the annual review electronically to the faculty.

433
434 If the faculty member disagrees with the Chairperson's written recommendation and wishes
435 to appeal, the faculty member ~~will~~may request a meeting with the Chairperson to discuss the
436 recommendation letter ~~with the Chairperson in a meeting to be scheduled within five~~
437 ~~working~~ten days after receiving the Chair's recommendation. If the disagreement remains
438 unresolved ~~following this meeting, or if the faculty member does not desire a meeting with the~~
439 ~~Chairperson~~, the faculty member has the right to insert into the record a written rebuttal of the
440 Chairperson's recommendation before it is presented to the Dean. The faculty member must
441 submit any written rebuttal not more than 10 days after the Chair's recommendation is
442 available in the faculty member's college mailbox or 5 days after the meeting with the Chair if
443 the faculty member requested such a meeting. The rebuttal must set forth the reason for the
444 appeal but may not include additional evidence. Corrections of errors of fact may be included.
445 Any appeal will go forward on the basis of the written Annual Review record as originally
446 presented. ~~Written recommendations shall be placed both in the faculty member's College~~
447 ~~mailbox as well as mailed that same day to the faculty member's home address as reflected~~
448 ~~in the University profile. The faculty member must submit the written rebuttal not more than~~
449 ~~10 days after such mail is postmarked and available in the faculty member's college mailbox.~~
450 ~~An email shall also be sent to the faculty member on the date of mailing notifying them of the~~
451 ~~availability of the written recommendation in their mailbox at the College of Education and~~
452 ~~Human Development.~~

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- 453
454 c. All recommendations for Annual Review salary increases and written rebuttals will be
455 forwarded to the Dean by March 15 of each year.
- 456
457 d. After all Annual Reviews are finalized, Chairpersons will group all faculty with in their
458 Department in categories (not satisfactory, ~~satisfactory but~~ needs improvement, satisfactory,
459 meritorious, and highly meritorious). Then they will meet with the other Chairs, the Dean and
460 her/his designated senior staff to merge the Annual Reviews of all faculty into the categories.
461 The groupings will be college-wide in order to strive for fairness in judgment across the unit.

- e. Once the Chairs and Dean pursuant to Section "d" above have completed the grouping recommendations for all faculty, the Dean shall assign a final faculty rating. The Dean will also independently place the Chairs, Associate and Assistant Deans in the appropriate groups thereby completing the full college annual salary recommendations.
- f. The Dean will discuss the faculty recommendations with the appropriate Chairperson. The Dean will then notify the faculty member and the Chairperson of his or her final recommendation no later than June 1.

g. The Dean's written recommendation shall be placed in the faculty member's College mailbox and an email shall also be sent to the faculty member notifying them of the availability of the written recommendation in their mailbox at the College of Education and Human Development.

C. Appeals Process

1. If the faculty member disagrees with the Dean's recommendation and wishes to appeal, the faculty member must first discuss the area(s) of disagreement with the Dean in a meeting scheduled within ~~five working~~ days after receiving the Dean's recommendation. ~~Written recommendations shall be placed both in the faculty member's College mailbox as well as mailed that same day to the faculty member's home address as reflected in the University profile.~~ The faculty member must also submit the written rebuttal to the Dean not more than 10 days after such mail is postmarked and available in the faculty member's college mailbox. ~~An email shall also be sent to the faculty member on the date of mailing notifying them being notified of the availability of the written Dean's recommendation in their mailbox at the College of Education and Human Development.~~ the faculty member's college mailbox. If the disagreement is not resolved during that meeting, the faculty member may present a written appeal to the College Personnel Committee within 10 ~~working~~ days of the meeting with the Dean. The rebuttal must set forth the reason for the appeal but may not include additional evidence. Any appeal will go forward on the basis of the written Annual Review record as originally presented.

Following a review of appropriate materials by the College Personnel Committee, the Committee will make independent written recommendations to the Dean of support or nonsupport for each appeal. Once the Dean with regard to all appeals makes a final decision, he or she will meet with the College Personnel Committee to discuss any decisions that differ from the Personnel Committee's recommendations.

At the conclusion of the appeals process, faculty members who have a successful appeal will have their ranking recalibrated thereby finalizing the full college Annual Review faculty salary rankings.

D. Chairpersons and Associate/Assistant Deans

1. The Dean will serve as the Chairperson's or Associate and/or Assistant Dean's supervisor in the evaluation of the Annual Review. The Dean will seek the advice of Department faculty and relevant others as appropriate.
2. The Annual Review of Chairpersons, Associate and Assistant Deans will be conducted by the Dean and will commence on February 1 of each year.
3. The Chairperson's, Associate, or Assistant Dean's Annual Review will recognize administrative as well as usual faculty responsibilities.
4. The Chairperson, Associate or Assistant Dean and the Dean will review each individual's Annual Work Plan and examine the indicators of success.
5. The Dean will inform the Chairperson, Associate, or Assistant Dean by letter whether, in the

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520 Dean's judgment, the Chairperson's or Associate/Assistant Dean's performance has been not
521 satisfactory, ~~satisfactory but~~ needs improvement, satisfactory, meritorious or highly meritorious
522 with regard to the criteria in Article 2.0, above, and with regard to the Chairperson's, Associate or
523 Assistant Dean's administrative responsibilities. The recommendation shall be specific regarding
524 weaknesses and deficiencies (if any), as well as suggestions (if any) for improvement and
525 possible adjustments in workload.

526
527 6. One copy of the Annual Review narrative will be retained by the Chairperson, Associate, or
528 Assistant Dean and one copy will be placed in the Dean's Office personnel files.
529

530 7. If the Chairperson, Associate or Assistant Dean disagrees with the Dean's written
531 recommendation and wishes to appeal, the Chairperson, Associate or Assistant Dean must first
532 discuss the area(s) of disagreement with the Dean in a meeting scheduled within five working
533 days after receiving the Dean's recommendation. If the disagreement is not resolved during that
534 meeting, the Chairperson, Associate, or Assistant Dean may present a written appeal to the
535 College Personnel Committee within 10 working days of the meeting with the Dean. The rebuttal
536 must set forth the reason for the appeal but may not include additional evidence. Any appeal will
537 go forward on the basis of the written Annual Review record as originally presented. Once the
538 Dean with regard to all appeals makes a final decision, he or she will meet with the College
539 Personnel Committee to discuss any decisions that differ from the Personnel Committee's
540 recommendations.
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542 ~~_____ a.~~ At the conclusion of the appeals process, Chairpersons, Associate or
543 Assistant Deans who have a successful appeal will have their ranking recalibrated thereby
544 finalizing the full college Annual Review salary rankings.
545

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546 E. The final calculation of the salary increases will be based on the total pool of monies received for
547 the year from the central administration and the total number of Annual Review points accrued by
548 each faculty member, Chairperson or Associate/Assistant Dean.

549 1. Administrative officers and appropriate faculty bodies shall protect faculty members from
550 inequities in salary.
551

552 Those faculty members who are rated not satisfactory will receive a zero salary increase for that
553 year.
554

555 The total annual merit raise pool will then be distributed to all faculty who are rated "~~satisfactory~~
556 ~~but~~ needs improvement", "satisfactory", "meritorious", or "highly meritorious" as a percent of their
557 current salary through the process described below. The total annual merit raise pool shall be
558 distributed as follows: (a) When the merit pool is less than or equal to 3% or to the federal cost of
559 living adjustment, whichever is greater, 70% of the pool would be distributed to all of those
560 receiving a rating of "~~satisfactory but~~ needs improvement" or higher and 20% would be used as
561 meritorious pool. The distribution of the 70% to go to all faculty receiving raises would be as a
562 percentage of their base salary (i.e., if there is a 3% raise pool and all faculty are receiving a
563 raise, each faculty member receiving a satisfactory rating would receive .7 x 3% or a raise of
564 2.1%). Faculty receiving the rating of "~~satisfactory but~~ needs improvement" shall receive .50
565 (50%) of the percentage of the raise provided to those receiving ratings of "satisfactory."
566

567 Those rated as meritorious or highly meritorious shall also receive one or two annual review
568 points, respectively. For Assistant Professors the final number of annual review points earned
569 (i.e., 1 point for a rating of meritorious or 2 points for a rating of highly meritorious) shall be
570 multiplied by 1.0 to gain a weighted total of Annual Review points to be awarded. For Associate
571 Professors, the total number of annual review points earned shall be multiplied by 1.2 to gain a
572 weighted total of Annual Review points to be awarded. For Full Professors, the total number of
573 annual review points earned will be multiplied by 1.5 to gain a weighted total of Annual Review
574 points to be awarded to the individual. The 20% of the raise pool to be used for compensating
575 annual review points, as noted above, would then be divided by the total number of weighted
576 Annual Review points awarded to arrive at the value of each annual review point. The remaining
577

10% would then be used by the Dean to provide for additional merit adjustments based on annual and longer-term performance reviews (see, for example, 3.a below).

In the event that the merit pool exceeds 3% or the amount of the federal cost of living adjustment, whichever is greater (base level), that amount that exceeds the base level shall be distributed in keeping with the above patterns and conditions but with ratios now of 60%, 30%, and 10%.

Faculty receiving the rating of "~~satisfactory but~~ needs improvement" shall still receive .50 (50%) of the percentage of the raise provided to those receiving ratings of "satisfactory."

2. Appeals will be finalized and recalibrated in the total rankings. Then, the remaining highly meritorious salary pool will be divided by the total number of meritorious points (the sum of all weighted points awarded) to determine the monetary value of one point for that year. Finally, the monetary point value will be multiplied by a given faculty members, Chairperson's, or Associate/Assistant Dean's total Annual Review points to calculate that individual's final Annual Review salary increase.
3. The Dean will inform each faculty member, Chairperson, Associate and Assistant Dean by letter of final Annual Review salary increase decisions.
 - a. The Dean's letter will include the total number of Annual Review points, the amount of any salary increase and/or one-time salary adjustment for performance. Because of timing issues, the Dean may send two letters, the first letter indicating the award of Annual Review points and the second letter once all appeals have been resolved and monies have been calculated, thus finalizing the amount of salary increase.
 - b. The Dean's letter will include the reasons for the Dean's decision.
 - c. If the performance of a faculty member, Chairperson, Associate or Assistant Dean is rated not satisfactory, the Dean's letter will include the reasons for the rating and specific suggestions for improving performance. The Provost must approve Annual Review salary decisions involving not satisfactory performance ratings as these are ratings where the faculty member is to receive no increase.
 - d. At the completion of the Annual Review process, a file shall be updated in the Department for each faculty member and in the Dean's Office for each Chairperson, Associate and Assistant Dean. The file shall contain the following items:
 - The Chairperson's recommendation regarding Annual Review salary increases include evaluations of not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious);
 - The Dean's recommendation regarding Annual Review points and Annual Review salary increases;
 - A copy of the Annual Review narrative.
 - e. The annual file described above (in 3.2.E. ~~32~~d), shall become part of the record to be used in subsequent reviews of faculty members and Department Chairpersons, Associate, and Assistant Deans.
4. By July 1 of each year, the Dean will provide an annual written report to the faculty and the Provost. The report will contain:
 - The number of not satisfactory, ~~satisfactory but~~ needs improvement, satisfactory, meritorious, or highly meritorious performance ratings;
 - A summary of the process used to arrive at such salary increases, including the results of any appeals reviewed by the Dean and the Personnel Committee;
 - A short review of the impact of activities, the levels of quality and the indicators of effectiveness deemed by Chairpersons and the Dean to warrant meritorious and highly meritorious consideration;

Commented [MRC1]: Typo noted by Faculty Senate Redbook Committee, 2-2-16.

- A frequency distribution of the percentage salary increases received by all faculty members.

Sec. 3.3 Tenure

A. Time Required

The College follows the policies and procedures stated in *The Redbook* (See 4.2.2): "All probationary faculty who have had seven years of service counted as in a tenurable faculty position, if reemployed full-time, shall be granted tenure."

B. Leaves of Absence

The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 B): "One year spent on an officially approved leave of absence may be counted toward the seven years of full-time service necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure."

C. Extension of Probationary Period

The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 C.): "A faculty member who faces extenuating circumstances that do not require a leave of absence but result in a significant reduction in ability to perform normal duties may request an extension of the probationary period for no less than six months and no more than one year. Such extensions must be requested and approved before the end of the fifth year of the probationary period and must have documentation satisfactory to the Provost."

D. Prior Service

The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 D.): "Previous full-time service with the rank of instructor or higher or comparable status in institutions of higher learning may be counted toward the acquisition of tenure."

E. Early Tenure

The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 E.): "1. Notwithstanding anything in *The Redbook* to the contrary, tenure may be granted at the time of initial appointment or in less than seven years when such action is warranted. 2. A faculty member may request only one evaluation for early tenure. 3. Evaluation for early tenure, once originated, shall proceed as indicated in Section 4.2.2.H. unless the faculty member under review requests its withdrawal."

F. Evidence to be Submitted for Tenure or other forms of Promotion

1. General Statement of Criteria for Tenure

The award of tenure is the appointment of a faculty member with the right to continuous full-time appointment without reduction in academic rank until retirement. Therefore, the tenure decision is the most important of all personnel decisions and will be made with particular care. A candidate for tenure bears primary responsibility for collecting, organizing, and presenting evidence to support the petition for advancement. Annual Work Plans and Annual Reviews will be included in the materials submitted for the review. Evaluation of the candidate's materials will be guided by the work specified in the candidate's Annual Work Plans.

a. Candidates should work closely with department chairpersons to address the following criteria for the award of tenure:

- Rank at Appointment: Only faculty members of the rank of Assistant Professor, Associate Professor, or Professor are eligible to receive tenure.
- Time Required: Normally, tenure will be awarded only after seven years of service.
- Tenure may be awarded before seven years of service if merited.

b. Criteria for tenure are:

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- Teaching
- Service to the profession, the department, the College, the University, or the community
- Research or creative activity

c. Performance Standards for tenure are:

- Evidence of proficient performance in each of the above three areas;
- Evidence indicating the promise of continuing proficient performance on all of the criteria above.

2. Faculty Performance: Standards, Definitions, and Evidence

The standards articulated in this section are fundamental to all faculty personnel decisions, including career reviews, and, particularly, to decisions involving promotion and/or tenure, which are the result of the most comprehensive evaluation of faculty performance. A candidate for promotion and/or tenure in the College of Education & Human Development bears primary responsibility for collecting, organizing, and presenting evidence to support the candidate's petition for advancement. Candidates should work closely with department chairpersons or their designee to address the following standards and requirements of evidence in the preparation of triptychs.

a. Teaching

- (1) Teaching is the guiding of students in the acquisition of knowledge, attitudes, skills, and dispositions. Teaching is broadly understood to include all the activities in which a faculty member is engaged in efforts to instill knowledge, improve skills, or foster attitudes and dispositions in students. Therefore, multiple criteria to be used to evaluate teaching, which includes not only classroom instruction, but also field supervision and visitations, the various forms of individualized instruction, student advising and counseling, as well as developing and refining courses, programs, and curricula. It also includes the directing of master's theses, specialist professional papers, doctoral dissertations, and mentoring of students in interdisciplinary programs. In evaluating teaching effectiveness, assessment should take into account desired learning outcomes. Proficiency is based on what is typically expected at our benchmark institutions and is further defined by the Colleges and University's mission statements.

(2) Evidence of Teaching Effectiveness

The evaluation of teaching effectiveness should not be based on any one evaluation technique but, instead, should be based on multiple criteria -including, but not limited to, such data to be submitted by the candidate as:

- (a) Student Evaluations: All courses in the College of Education & Human Development are evaluated by students using the standard evaluation form approved by the faculty. Candidates should include a list, by semester, for courses taught in at least the three years preceding consideration. Candidates for promotion or tenure must submit for review the standard evaluation form summary for courses taught in at least the three years preceding consideration. Candidates should include a note of explanation for courses taught but for which no student evaluations are included.
- (b) Testimony of Former Students: Former students are in a position to assess the value and effectiveness of instruction from a stand-point that allows more mature reflection and appreciation of its relevance to their lives and careers.

- 751 Therefore, letters from former students add an important dimension to the
752 evaluation of teaching effectiveness.
753
- 754 (c) Testimony of Colleagues: The effectiveness of teaching can be competently
755 assessed by colleagues who have had the opportunity to observe the
756 classroom performance of a candidate or to observe the candidate engaged
757 in the many additional sorts of teaching that occur outside the classroom.
758 Therefore, letters solicited from such colleagues provide significant
759 information regarding the evaluation of teaching effectiveness. If a candidate
760 has no disciplinary peers at the university, peer review should be solicited
761 from outside the university.
762
- 763 (d) Teaching Materials: Candidates should submit course syllabi and other
764 teaching materials they have prepared to organize and communicate the
765 knowledge in their field for the purposes of teaching. These materials should
766 demonstrate the candidate's use of appropriate and effective pedagogies,
767 which may include such things as cooperative learning, instructional
768 technologies, recognition of individual differences, pedagogical papers, and
769 so on.
770
- 771 (e) Student Research Projects: Candidates may submit student research
772 projects (articles, presentations, etc.) for which the candidate served as a
773 mentor. If more than one faculty member served as a mentor, the candidate
774 should clearly indicate their role in the mentoring process. Where
775 appropriate, information relating to the publication rate and outlets of student
776 dissertations, theses, and other research efforts of students may also be
777 included and considered. In addition, successfully engaging students at all
778 levels in research, service projects, and related activities can be considered
779 as additional evidence of proficiency in teaching.
780
- 781 (f) Teaching Related Grants: Candidates may submit information about funding
782 obtained that supports the enhancement of instruction and program
783 development. The candidate should clearly indicate what role they played in
784 the submission and/or administration/delivery of the grant.
785
- 786 (g) Additional Evidence: Candidates may submit any additional evidence of
787 teaching effectiveness, such as analyses of student performance
788 assessments, licensing exam outcomes, board scores, nationally-normed
789 progress assessments, peer reviews, teaching portfolios, curriculum
790 development, participation in teaching circles, and mentoring (students, part-
791 time faculty, and junior faculty. Teaching load, large class size, and level
792 (e.g., bachelor's, master's, doctoral) may be a factor in the evaluation of
793 teaching effectiveness, but it may not be the primary factor.
794
- 795 (h) Self-assessment: Candidates must submit a written self-assessment of their
796 teaching.
797
- 798 (3) Judgments of proficiency of teaching performance will be based upon review of all
799 the evidence presented as well as other evidence provided for in this document.
800
- 801 b. Service
- 802
- 803 (1) Faculty engage in service activities when they make their academic or professional
804 expertise available to others in the university, the profession, the local community,
805 or beyond the local community. Service is the application of knowledge in one's
806 particular discipline or field of study; service is the application of general academic
807 expertise that results from experience as a university educator, as when one
808 participates in faculty governance within the university or when service activities

809 outside the university are linked to one's general academic expertise. Service may
810 also include the development of knowledge, insight, or new intellectual
811 understanding that results from applying one's particular academic expertise in
812 service activities. Proficiency is based on what is typically expected at our
813 benchmark institutions and is further defined by the College's University's mission
814 statements. Because service contributions and impact are often difficult to
815 measure, units should encourage faculty to describe and document their
816 contributions in service for merit and promotion considerations.

817
818
819 (2) Evidence of Effectiveness in Service

- 820
821 (a) Testimony of People or Organizations Benefiting from Service: Letters from
822 the beneficiaries of the candidate's service activities provide strong evidence
823 of effectiveness.
824
825 (b) Testimony of Colleagues: Letters should be solicited from colleagues, within
826 the University and/or the candidate's profession, who collaborated in service
827 projects or who were otherwise in a position to judge the effectiveness of a
828 candidate's service activities. Examples of such colleagues are committee
829 chairs, project directors, and other significant participants. Such testimony
830 should assess the extent of the candidate's participation and the leadership
831 exhibited in service activities.
832
833 (c) Additional Evidence: Candidates may submit any additional evidence that
834 speaks to the effectiveness of their service activities (e.g., any products
835 resulting from service activities along with evidence regarding the nature of
836 the candidate's contribution, or awards or other kinds of recognition related to
837 effectiveness). Candidates should submit any written materials relating to
838 service that provide evidence of its scholarly basis.
839
840 (d) Service Related Grants: Candidates may submit information about funding
841 that has been received to support scholarly service-. The candidate should
842 clearly indicate what role they played in the submission and/or administration
843 of the grant.
844
845 (e) Self-assessment: Candidates must submit a written self-assessment of the
846 effectiveness of their service activities.
847
848 (f) Judgments of proficiency of service will be based upon review of all the
849 evidence presented as well as other evidence as provided for in this
850 document.
851

852 c. Research or Creative Activity

- 853
854 (1) Research or Creative Activity may include empirical ~~or~~ theoretical, or applied
855 research. Basic research requires no other justification than the intrinsic good of
856 knowing and understanding. ~~Applied research seeks to affect practice and/or policy~~
857 ~~in education and human development. It~~ There are multiple ways in which research
858 and scholarship are part of the university's commitment to community engagement. A
859 scholarly agenda may incorporate community-based participatory research, practice-
860 based research, engaged scholarship, and scholarship of engagement. Engaged
861 research is scholarly work done in full partnership with the community. It consists of
862 research and application of scholarship for mutual benefits for the institution,
863 community partner, and larger communities (local, regional/state, national, global).
864 Research may also establish connections across the disciplines (multidisciplinary),
865 reveal to specialists and nonspecialists alike the larger context of knowledge, and
866 interpret the original research in one's discipline or field. Research and creative

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867 activity also undergirds effective teaching and facilitates communication of the
868 knowledge of one's discipline or field to students. Proficiency is based on what is
869 typically expected at our benchmark institutions and is further defined by the
870 University's mission statement to be a premier metropolitan research university. In
871 order to be evaluated as proficient in research or creative activity, faculty must have
872 developed one or more lines of coherent and focused scholarship consistent with the
873 mission of the College and University and appropriate for their rank and stage of
874 career. It is expected, for example, that the research or creative activity will have an
875 impact on the faculty member's field of study that is recognized at a national or
876 international level that is also consistent with their rank and state of career (e.g.,
877 those seeking promotion to full professor shall be expected to have a higher level of
878 national and/or international recognition and impact than would be expected at the
879 associate professor level). Although quantity of scholarly products alone is not a sole
880 or sufficient criteria, faculty must demonstrate a consistent level of effort that includes
881 publication of their work in outlets consistent with the mission and goals of the
882 university and where at least a portion of that work has been submitted for peer
883 review, with a demonstrated record of favorable review. It is also expected that for
884 those faculty whose scholarship is in areas where funding is appropriate that they will
885 demonstrate a consistent record of seeking and obtaining such extramural funding to
886 support their scholarship and related professional work. Finally, the demonstration
887 of proficiency as a mentor to students in their development as scholars and
888 researchers (e.g., through students' successful publication of work carried out under
889 the candidate's supervision), although not required for tenure and/promotion can
890 provide additional evidence of proficiency of the candidate in research and creative
891 activity.

892
893 (2) Evidence of Research or Creative Activity

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895 (a) Publications: Candidates should submit for review books or monographs
896 published on merit and not totally subsidized by the author, articles published
897 in professional journals of quality that utilize editorial review boards, and any
898 other published works that have resulted from the candidate's scholarship
899 and that provide evidence of quality.

900
901 (b) Other Forms of Evidence: Candidates should submit any of the following:

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- 904 • A complete list of unpublished papers, posters, ~~or~~and workshop
905 materials presented at meetings of national associations that employ a
906 review process and a complete list of grant proposals, especially if
907 funded, that employ a review process;
 - 908 • Funded grant proposals that represent the results of research and
909 creativity; the candidate should clearly indicate what role they played in
910 the submission and/or administration of the grant. For multidisciplinary
911 grants the designation of ~~Co-Principle investigator~~Principal Investigator
912 should carry the same weight as ~~Principle~~Principal Investigator.
 - 913 • Products such as instructional aides, videos, research instruments, or
914 computer software that have resulted from research and creativity;
 - 915 • Materials and other evidence attesting to public speeches, television
916 presentations, participation in forums, and other activities involving
917 scholarship.
 - 918 • Products related to entrepreneurial efforts including but not limited to
919 ~~licenses and patents~~university approved licenses, patents, industry
920 partnerships, and university affiliated consulting/training programs.

921 ~~(c) External Peer Evaluations:--(c) External Peer Evaluations: External~~
922 evaluation of research is required for tenure of probationary faculty.
923 Additionally, external evaluation of research is required for promotion of
924 probationary and tenured faculty. The quality of publications and other forms

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of scholarly dissemination is judged best by colleagues in the candidate's field or discipline. ~~Therefore, external evaluation of research is required for tenure and promotion reviews.~~ Reviews solicited from disciplinary peers are an important part of the evaluation of research and creativity.

Similarly, external evaluation of teaching is required for promotion of clinical faculty and external evaluation of research is required for promotion of research faculty.

The Department Personnel Committee will oversee the solicitation of external evaluations of the candidate's scholarship ~~or teaching as required above.~~ The Department Personnel Committee will, in consultation with the Dean and Chair, begin the process of selecting evaluators and soliciting evaluations in a timely manner. ~~Ordinarily~~For promotion and tenure of probationary, and promotion of tenured faculty, ordinarily, evaluators will be at or above the rank to which the candidate seeks promotion. Evaluators should be recognized experts in the field, and be from programs and/or institutions similar to the University of Louisville. Evaluators are individuals who are likely to provide a fair and unbiased assessment of the candidate.

Procedures for Probationary and Tenured Faculty: The candidate will submit five names, along with addresses and emails, of people qualified to evaluate the candidate's materials. The Department Personnel Committee, in consultation with the Dean, will submit five names, along with addresses and emails, with input from departmental faculty and the chairperson. If the candidate fails to submit a list, the evaluators will be chosen from the Department Personnel Committee's list. The Departmental Personnel Committee shall provide a short synopsis of the significant accomplishments and/or other basis for the selection of each external reviewer that demonstrates why the reviewer is prominent in the reviewer's field and why the evaluation would be appropriate given the mission and goals of the College and the University of Louisville. -The candidate has the right to challenge any evaluator on the combined list of names with cause and must provide in writing the nature of any prior association or relationship with any evaluator on the list. From this mutually agreeable list, the Department Personnel Committee will select four to six external evaluators, at least half of whom must be from the candidate's list, if she/he submits a list.

Procedures for Clinical and Research Faculty: The candidate will present a list of five individuals outside their Academic Department who can evaluate the teaching and/or research contributions of the candidate. For clinical faculty, these individuals may be principals, superintendents, mentor teachers, or other local, state, national, or international educators familiar with the candidate's work or with the type of clinical activity the candidate is engaged in. For research faculty, these individuals should be recognized experts in the field at or above the rank to which the candidate seeks promotion, and be from programs and/or institutions similar to the University of Louisville. The Department Personnel Committee will also develop a list of five potential external reviewers. The candidate has the right to challenge any evaluator on the combined list of names with cause and must provide in writing the nature of any prior association or relationship with any evaluator on the list. If the candidate fails to submit a list, the evaluators will be chosen from the Department Personnel Committee's list. The Department Personnel Committee will select four to six individuals from the pool of potential reviewers (at least half of which must be from the candidate's list) to provide an evaluation of the candidate's contribution.

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982 Once external evaluators are identified, the department chair will solicit ~~four~~
983 ~~to six~~ external reviews in writing. This letter should include a description of
984 appropriate criteria for evaluation from the College of Education and Human
985 Development Personnel Policies and Procedures. The letter should also
986 request a description of the reviewer's relationship to the candidate, request
987 a detailed evaluation of the candidate's work based on materials provided,
988 ask whether the evaluation may or may not be read by the candidate, and
989 request a copy of the reviewer's vita. Each reviewer will be provided with the
990 candidate's vita and pertinent scholarly materials, including but not limited to
991 publications. The candidate will determine what materials will be provided to
992 external reviewers, although the Personnel Committee or Chairperson may
993 provide advice about the selection of materials. External evaluators will be
994 given a reasonable time period in which to complete evaluations and should
995 they be unable to do so will be replaced by another evaluator from the
996 mutually agreeable list of potential external evaluators. Where less than four
997 external reviews are received within a reasonable amount of time the chair
998 shall make reasonable efforts, in collaboration with the candidate and
999 personnel committee, to obtain at least four reviews with at least half coming
1000 from reviewers recommended by the candidate.

1001
1002 The faculty member has the right to rebut comments made by the external
1003 reviewers. Responses are to be made in writing and added to the triptych
1004 before being sent for further review by the department chair or department
1005 personnel committee. The candidate will be notified when the external
1006 reviews are received and will have ten days in which to supply a rebuttal.
1007 Modifications to the time frame can be considered if the candidate is out of
1008 town when the reviews arrive. Request for modification are to be made to
1009 the dean.

- 1010
1011 (d) Additional Evidence of Research: Candidates may submit any additional
1012 evidence that speaks to the quality of their research and creativity, such as
1013 citations, reviews, or other evaluative commentary regarding their work.
1014
1015 (e) Self-assessment: Candidates must submit a written self-assessment of the
1016 quality of their contributions.
1017 ~~Candidates must submit a written self-assessment of the quality of their~~
1018 ~~research and creativity.~~
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1020 (f) Judgments of proficiency of ~~research and creativity~~ the candidates'
1021 contributions will be based upon review of all the evidence presented.

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G. Pre-Tenure Review

1. Purpose

At the mid-point of their probationary period at the University of Louisville, probationary faculty are reviewed within the College to inform them of the College's assessment of their progress toward meeting the standards for the award of tenure. Recommendations will be made to assist the faculty member in preparing for tenure and promotion.

2. Procedure

- a. Each year, the College Personnel Committee informs department chairpersons of faculty who are scheduled for pre-tenure review. The probationary faculty member bears primary responsibility for collecting, organizing, and presenting evidence relevant to the faculty member's performance in the standard areas in 2.0, above. The faculty member should

- 1040 work closely with the department chairperson to address the criteria for the award of
1041 tenure listed above in 3.3.F.2. A portfolio resembling a triptych should be prepared,
1042 although it need not be as extensive as the triptych required for promotion or tenure.
1043 Annual Work Plans and Annual Reviews will be included in the materials submitted for
1044 the review. Evaluation of the candidate's materials will be guided by the work specified in
1045 the candidate's Annual Work Plans.
1046
1047 b. The department chairperson prepares a written assessment of the probationary faculty
1048 member's progress toward meeting tenure standards and forwards the assessment to the
1049 College Personnel Committee (copy to the faculty member).
1050
1051 c. Independently of the chairperson's review, the Department Personnel Committee
1052 prepares a written assessment of the probationary faculty member's progress toward
1053 meeting tenure standards and forwards the assessment to the College Personnel
1054 Committee (copy to the faculty member).
1055
1056 d. The College Personnel Committee prepares a written assessment of the probationary
1057 faculty member's progress toward meeting tenure standards and sends the assessment
1058 to the dean (copy to the faculty member and the faculty member's department
1059 chairperson).
1060
1061 e. The review shall not be final until it is approved by the dean.
1062
1063 f. The pre-tenure review file shall remain intact for inclusion in the tenure review file. This
1064 report will be submitted as part of the evidence for the tenure review.
1065

1066 H. Evaluation for Tenure
1067

- 1068 1. Each year, department chairpersons recommend to the dean those faculty members who
1069 must be reviewed for tenure. Faculty members who are to be reviewed bear primary
1070 responsibility for collecting, organizing, and presenting evidence to support the
1071 recommendation; they should work closely with their department chairperson to address the
1072 standards in 2.0, above, and the criteria delineated in 3.3.F.2. Annual Work Plans and
1073 Annual Reviews will be included in the materials submitted for the review. Evaluation of the
1074 candidate's materials will be guided by the work specified in the candidate's Annual Work
1075 Plans.
1076
1077 2. The department chairperson prepares a written assessment of the faculty member's
1078 performance and forwards the assessment to the dean via the College Personnel Committee
1079 (copy to the faculty member).
1080
1081 3. Independently of the chairperson's review, the department personnel committee prepares a
1082 written assessment of the faculty member's performance and forwards the assessment to the
1083 dean via the College Personnel Committee (copy to the faculty member and the faculty
1084 member's department chairperson).
1085
1086 4. The College Personnel Committee prepares a written assessment of the faculty member's
1087 performance and forwards the assessment to the dean (copy to the faculty member and the
1088 faculty member's department chairperson).
1089
1090 5. After considering the recommendations and assessments of the department chairperson, the
1091 department personnel committee, and the College Personnel Committee, the dean makes a
1092 recommendation to the Provost regarding promotion and/or tenure, informing the faculty
1093 member, the department chairperson, and the College Personnel Committee of the nature of
1094 the recommendation.
1095
1096 6. The faculty member may add newly available material evidence for reconsideration by the
1097 previous evaluators or rebuttals before the file is forwarded to the Provost (The College

1098 follows the policies and procedures stated in the Redbook (see 4.2.2.H.4 and specifics
1099 below). A file of all information and documents pertinent to the tenure evaluation shall be
1100 compiled with the cooperation of the faculty member. Recommendations and any other
1101 material added shall become part of the file. The faculty member may examine any
1102 substantive material in the tenure file but shall not be informed of the identity of evaluators.
1103 The faculty member may add newly available material evidence for reconsideration by the
1104 previous evaluators or rebuttals before the file is forwarded to the Executive Vice President
1105 and University Provost. The evidence in this file shall be reviewed according to the
1106 procedures specified in the Minimum Guidelines and the unit personnel document.
1107
1108 7. Except in cases of early tenure, evaluations for tenure, once originated, shall proceed as
1109 indicated above unless the faculty member under review resigns from the university.
1110 Evaluations for early tenure shall proceed as indicated unless the faculty member requests
1111 withdrawal.
1112
1113 8. As called for in *The Redbook* in cases involving tenure, if the recommendation of the Provost,
1114 dean, or department chair is negative, the candidate may request a hearing before the
1115 University Faculty Grievance Committee. This request must be delivered on or before the
1116 tenth day following the action challenged.
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1118 **Sec. 3.4 Promotion in Rank**

1119 A. Criteria for Promotion

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- 1121 1. Criteria for evaluation for promotion are:
 - 1122 • Teaching
 - 1123 • Research and creative activity
 - 1124 • Service to the profession, the unit, the University or the community
 - 1125 2. A candidate for promotion bears primary responsibility for collecting, organizing, and
1126 presenting evidence to support the petition for advancement. Annual Work Plans and Annual
1127 Reviews will be included in the materials submitted for the review. Evaluation of the
1128 candidate's materials will be guided by the work specified in the candidate's Annual Work
1129 Plans. In the review process attention is paid both to productivity since date of last hire or
1130 promotion (whichever is more recent) and accomplishments over one's entire career. In all
1131 cases faculty members must supply dates for all listed activities and accomplishments, making
1132 it possible for reviewers to identify clearly those that took place since the date of hire
1133 or last promotion (whichever is more recent). Candidates should work closely with their
1134 department chairperson to address the following criteria for promotion in rank:
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1137 a. a. Promotion from Instructor of Nontenurable Faculty

1138 (1) Promotion of Clinical Faculty

1139 (a) Promotion of Lecturer to Senior Lecturer and Promotion of Assistant Clinical
1140 Professor to Associate Clinical Professor.

- 1141 • Completion of the terminal degree;
- 1142 • Completion of three years of successful professional experience;
- 1143 • Evidence of proficient teaching.

- 1144 • Normally, at least four years in rank as a Lecturer or Assistant Clinical
1145 Professor, two of which must be at the University of Louisville;
- 1146 • Evidence of proficient performance in teaching, research and creative
1147 activity, or service as governed by the percentages established in the

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1153 candidate's annual work plans, and the description of responsibilities and
1154 duties as outlined in the candidate's letters of appointment;

- 1155 • In demonstrating proficient performance, candidates are encouraged to
1156 provide evidence of substantial related leadership contributions to the
1157 Department, College, University, and/or education community that have
1158 positively and significantly impacted specific programs or initiatives;
- 1159 • Evidence of continuing promise of proficient performance in teaching,
1160 research or creative activity, or service as governed by the percentages
1161 established in the candidate's annual work plans, and the description of
1162 responsibilities and duties as outlined in the candidate's letters of
1163 appointment;

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1165 (b--). Promotion of Senior Lecturer to Distinguished Lecturer and Promotion of
1166 Associate Clinical Professor to Clinical Professor

- 1168 • Normally, at least four years in rank as a Senior Lecturer or Associate
1169 Clinical Professor, two of which must be at the University of Louisville;
- 1170 • At least eight years of college or university experience at the rank of Lecturer
1171 or Assistant Clinical Professor or above since earning a terminal degree or
1172 other appropriate degree.
- 1173 • Evidence of proficient performance in teaching, research and creative
1174 activity, or service as governed by the percentages established in the
1175 candidate's annual work plans, and the description of responsibilities and
1176 duties as outlined in the candidate's letters of appointment;
- 1177 • In demonstrating proficient performance, candidates are encouraged to
1178 provide evidence of substantial related leadership contributions to the
1179 Department, College, University, and/or education community that have
1180 positively and significantly impacted specific programs or initiatives;
- 1181 • Evidence of continuing promise of proficient performance in teaching,
1182 research or creative activity, or service as governed by the percentages
1183 established in the candidate's annual work plans, and the description of
1184 responsibilities and duties as outlined in the candidate's letters of
1185 appointment;

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1187
1188 (2) Promotion of Research Faculty

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1190 (a). Promotion of Assistant Research Professor to Associate Research Professor.

- 1192 • Normally, at least four years in rank as Assistant Professor and/or Assistant
1193 Research Professor, two of which must be at the University of Louisville;
- 1194 • Evidence of proficient performance in teaching, research and creative
1195 activity, or service as governed by the percentages established in the
1196 candidate's annual work plans, and the description of responsibilities and
1197 duties as outlined in the candidate's letters of appointment;
- 1198 • In demonstrating proficient performance, candidates are encouraged to
1199 provide evidence of substantial related leadership contributions to the
1200 Department, College, and/or University, that have positively and significantly
1201 impacted specific programs or initiatives as well as substantial leadership
1202 contributions to the academic field of study;

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- Evidence of continuing promise of proficient performance in teaching, research or creative activity, or service as governed by the percentages established in the candidate's annual work plans, and the description of responsibilities and duties as outlined in the candidate's letters of appointment;

(b). Promotion of Associate Research Professor to Research Professor

- Normally, at least four years in rank as an Associate Research Professor and/or Associate Professor, two of which must be at the University of Louisville;
- At least eight years of college or university experience at the rank of Assistant Professor and/or Assistant Research Professor or above since earning a terminal degree or other appropriate degree.
- Evidence of proficient performance in teaching, research and creative activity, or service as governed by the percentages established in the candidate's annual work plans, and the description of responsibilities and duties as outlined in the candidate's letters of appointment;
- In demonstrating proficient performance, candidates are encouraged to provide evidence of substantial related leadership contributions to the Department, College, and/or University, that have positively and significantly impacted specific programs or initiatives as well as substantial leadership contributions to the academic field of study;
- Evidence of continuing promise of proficient performance in teaching, research or creative activity, or service as governed by the percentages established in the candidate's annual work plans, and the description of responsibilities and duties as outlined in the candidate's letters of appointment;

b. Promotion of Tenurable and Tenured Faculty

(1) Promotion of Tenurable Faculty from Assistant Professor to Associate Professor

- Normally, at least four years in rank as an Assistant Professor, two of which must be at the University of Louisville;
- Evidence of proficient performance in each of the three standard areas (teaching, service, and research and creativity);
- Evidence of continuing promise of proficient performance in the three areas.

(2) c. Promotion of Tenured Faculty from Associate Professor to Professor

- Normally, at least four years in rank as an Associate Professor, two of which must be at the University of Louisville;
- At least eight years of college or university experience at the rank of Assistant Professor or above since earning a terminal degree;
- Evidence of proficient performance in each of the three standard areas (teaching, service, research and creativity);
- Evidence of continuing promise of proficient performance in the three areas.

d. Emeritus

Emeritus is an honorary title that may be conferred upon retired faculty if

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recommended by the dean, in consultation with department faculty who have had distinguished professional careers and who have made significant contributions to the College Personnel Committee. Emeritus faculty may retain certain privileges including continuing to participate in the following faculty activities (a) attend (but not vote at) faculty meetings, (b) participate in public ceremonies such as graduation and approved by doctoral hoodings, (c) serve on doctoral program and dissertation committees and master's thesis committees, (d) teach courses, and (e) engage in other research or educational activities. Emeritus faculty may be listed in departmental and college directories.

Criteria for Candidacy: Successful candidates for emeritus faculty status will have:

1. At least 10 years of continuous full-time employment at the President University of Louisville prior to retirement.
2. An outstanding record of one or more of the following:
 - a. scholarly achievement commensurate with national and international standards within the candidate's specific discipline
 - b. teaching and educational contributions
 - c. service to the department, college, or university: well beyond normal expectations.

B. Evaluation for Promotion: Process

1. Each year, department chairpersons recommend to the dean those faculty members who should be promoted. Faculty members who are to be reviewed bear primary responsibility for collecting, organizing, and presenting evidence to support the recommendation; they should work closely with department chairpersons to address the standards in 2.0, above, and the criteria in 3.3.F.2, above.
2. The department chairperson prepares a written assessment of the faculty member's performance and forwards the assessment to the dean via the College Personnel Committee (copy to the faculty member).
3. Independently of the chairperson's review, the department personnel committee prepares a written assessment of the faculty member's performance and forwards the assessment to the dean via the College Personnel Committee (copy to the faculty member and the faculty member's department chairperson).
4. The College Personnel Committee prepares a written assessment of the faculty member's performance and forwards the assessment to the dean (copy to the faculty member and the faculty member's department chairperson).
5. After considering the recommendations and assessments of the department chairperson, the Department Personnel Committee, and the College Personnel Committee, the dean makes a recommendation to the Provost regarding promotion and/or tenure, informing the faculty member, the department chairperson, and the College Personnel Committee of the nature of the recommendation.
6. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Provost (see *Redbook* 4.2.2.H.4).
7. Except in cases of early tenure, evaluations for promotion, once originated, shall proceed as indicated above unless the faculty member under review resigns from the university.
8. In cases involving promotion, if the recommendation of the Provost, dean, or department chair is negative, the candidate may request a hearing to grieve the decision consistent with

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1310 the standards in the Redbook in front of the University Faculty Grievance Committee. This
1311 request must be delivered on or before the tenth day following the action being challenged.

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C. Evaluation for Promotion: Standards, Definitions, and Evidence

See Section 3.3.F.2 of this document, Faculty Performance: Standards, Definitions, and Evidence

Sec. 3.5 Periodic Career Reviews

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A. Faculty with Tenure

1. Purpose

Tenured faculty in the College of Education & Human Development shall undergo periodic career reviews to evaluate their continued scholarly and professional growth.

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2. Procedures

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a. Unless otherwise specified below, all faculty holding tenured appointments in the College of Education and Human Development shall undergo periodic career review during March and April after every fifth year of service as a tenured faculty member.

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(1) When deans, associate or assistant deans, and other full-time administrators who hold tenured faculty appointments vacate their administrative positions, their periodic career review period shall begin when they assume full-time faculty positions.

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(2) If the review period ends during a sabbatical year (or other leave year), the periodic career review shall be deferred until the following academic year.

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(3) If a tenured faculty member is promoted, the promotion review shall satisfy the requirement of periodic career review, and the date of promotion shall mark the beginning of the next five-year review period.

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(4) If a tenured faculty member is being considered for promotion during a review year but does not achieve it, the periodic career review shall take place.

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b. By May 1 of the year prior to the review year, the faculty member will be notified that he or she will have a periodic review in the coming academic year.

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c. The dean's office will provide to the personnel committee copies of the faculty member's Annual Reviews and Annual Work Plans for the period since the last review no later than the ~~first~~^{first} third Friday of the review semester. The faculty member may add any other documents he or she deems appropriate. Only these documents will be reviewed. The candidate may request extramural review of his or her research. Otherwise, extramural review will not be part of the process.

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d. The personnel committee shall examine the file and, prior to the end of the eighth week of the semester, shall issue a report to the dean with copies to faculty member and his or her chair.

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e. If the conclusion of the report is the faculty member's overall contribution has been *satisfactory* (met the minimum requirements of the CEHD consistent with the standards and criteria of sections 2.0 and 3.3.F.2 delineated above) during the review period, the faculty member begins the next review period in the following academic year.

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- 1356 f. If the conclusion of the report is that the faculty member's contribution has been
1357 meritorious or above over the entire review period, this will be noted in the faculty
1358 member's files and will be considered if supplemental salary increase money is available.
1359 The dean shall determine the amount of any such salary increase.
- 1360 g. If the conclusion of the report is that the faculty member's contribution has been
1361 *unsatisfactory* (did not meet the minimum standards of the CEHD), the report shall state
1362 the deficiency (ies) that was (were) the basis for the conclusion. Within thirty calendar
1363 days of receipt of the report, the faculty member, in consultation with his or her
1364 department chairperson will prepare a career development plan acceptable to the dean to
1365 remedy the deficiency (ies) in one year, unless the dean approves a longer period.
- 1366 (1) If the faculty member completes the agreed-upon one-year Career Development
1367 Plan, the faculty member shall then have one more year to demonstrate
1368 satisfactory performance.
- 1369 (2) The faculty member will then undergo a Career Review in the academic year
1370 following the one year given to demonstrate satisfactory performance.
- 1371 (3) The focus of this Career Review will be on the faculty member's development plan.
- 1372 (4) If the faculty member is evaluated as satisfactory, the next five-year review period
1373 begins on the following July 1.
- 1374 (5) If the faculty member is again evaluated as unsatisfactory, the record of the
1375 periodic career review and the record of the Career Development Plan are
1376 submitted to the dean for appropriate action.
- 1377 h. If the faculty member undergoing review is a department chairperson, the development
1378 plan is prepared with and agreed to by the dean.
- 1379 i. All rights of due process and appeal found herein or in *The Redbook* shall obtain in all
1380 reviews of faculty.

1381 B. ~~Term~~clinical and Research Faculty—Periodic Career Reviews

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1383 ~~Term~~Clinical and Research faculty are to be reviewed annually and at the end of each contract
1384 term. Annual Work Plans and Annual Reviews will be included in the materials submitted for the
1385 review. Evaluation of the candidate's materials will be guided by the work specified in the
1386 candidate's Annual Work Plans. Periodic Career Review of ~~term~~Clinical and Research faculty
1387 shall be the contract renewal review (section 4.2.4.B. of *The Redbook*).
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1390 **Article 4.0 Conditions of Faculty Employment**

1391 **Sec. 4.1 Annual Work Plan and Presence at the University**

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1394 A. Annual Work Plan

- 1395
1396 1. ~~Working with the department chair, each~~Each faculty member will prepare and submit to his
1397 or her Chair ~~and a proposed workplan no later than November 1. The Chair, working with the~~
1398 faculty member, will review and approve the workplan and submit to the Dean for approval no
1399 later than December 1. Chairpersons and Associate/Assistant Deans will prepare and submit
1400 to the Dean a written Annual Work Plan no later than December 1.
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1402 2. The Annual Work Plan should include prioritized professional goals and objectives for the
1403 forthcoming year in the areas of Teaching, Service, and Research and Creative Activity.
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3. The Annual Work Plan for the forthcoming year will include intended contributions related to the mission of the department, college and university in terms of the performance objectives and criteria described in 2.0 above and further articulated in 3.0 above.
 4. The goals and objectives for the forthcoming year (i.e., intended outcomes) will be agreed upon and the Annual Work Plan will be dated and signed by the faculty member and Chairperson. In the event that the faculty member and Chairperson cannot reach agreement the faculty member may appeal the Chairperson's requirements of the faculty member, in writing and with a detailed rationale, to the Dean no later than ~~February 4~~ December 20. Any rationale provided by the Chair shall also be in writing to the Dean and the faculty member.
 5. One copy of both the Annual Review narrative and the Annual Work Plan will be retained by the faculty member, one copy will be placed in the department's personnel file, and one copy in the Dean's office.
 - ~~6. Each Chairperson or Associate/Assistant Dean will prepare and submit to the Dean an Annual Work Plan no later than February 1.~~
 - ~~7.~~ The Annual Work Plan for the forthcoming year will be agreed upon and dated and signed by the Chairperson or Associate/Assistant Dean and the Dean no later than ~~June 4~~ January 15.
 8. 7. One copy of the next year's Annual Work Plan will be retained by the Chairperson or Associate/Assistant Dean and one copy will be placed in the Dean's office personnel files.
 9. 8. The Annual Work Plan may be amended with the agreement of the faculty member and chair or immediate supervisor. The amendment will be placed in the Dean's office personnel files.

1433 B. Basic Faculty Work Load Assignment

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1. For purposes of computing faculty workload assignments, the three-credit-hour course will be the basic unit of measure: one three-hour course = 10% of academic year load.
 - ~~2.~~ 2. The basic faculty annual workload for probationary and tenured faculty is 50 per cent of effort devoted to teaching, 30 per cent of effort devoted to research and creative activity, and 20 per cent of effort devoted to service.

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3. The basic faculty annual workload for clinical faculty is 80 percent of effort devoted to teaching, and 20 percent of effort devoted to service.

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4. The basic faculty annual workload for research faculty is 80 percent of effort devoted to research and 20 percent of effort devoted to service; however, research faculty percent of effort devoted to research may not be less than 60 percent.

1449 C. Flexible Faculty Work Load Assignment

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- ~~1. Tenured and term faculty~~ 1. Faculty members may negotiate with department chairpersons for assignments that differ from the basic faculty workload ~~provided above~~. Through such negotiations, departments may seek the flexibility that allows pursuit of missions and objectives while capitalizing on the differing strengths of individual faculty members. Probationary faculty must demonstrate broad proficiency in the three areas specified in 2.0.
 2. Each faculty member in collaboration with his or her chair may also establish with a written agreement equivalencies to be used within the department to give load credit for faculty responsibilities including supervising student teachers, serving as a professional

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1460 development school liaison, directing independent studies or course by conference, serving
1461 as director or clinical training or other academic programs, directing field experiences,
1462 chairing or serving on dissertation and masters committees, team teaching, other forms of
1463 collaborative teaching, advising, working within schools, coordinating placement of teachers
1464 and interns, research projects (both individual and multidisciplinary), edit journals, leadership
1465 of national organizations, large service grants, and other activities consistent with and
1466 necessary for the College to achieve its mission.

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1468 3. Individual faculty members may negotiate course releases when he/she receives outside
1469 funding.
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1471 4. All faculty workload assignments must be approved by the dean.
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1473 D. Faculty Work Load Assignments and Faculty Reviews
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- 1475 1. Load assignments of faculty will be kept on file in the department as documentation for
1476 reviews of promotion and tenure, as well as for all periodic reviews (see 6.0, below).
1477 Evaluations of faculty performance in the standard areas in 2.0, above, will be adjusted to suit
1478 the nature of a faculty member's workload assignments during the review period. That is, for
1479 example, if a faculty member negotiates an assignment that excludes responsibility for
1480 service during a calendar year, the annual review will also exclude consideration of service;
1481 or, if a faculty member negotiates a reduced assignment in any of the standard areas, the
1482 review will be adjusted accordingly.
1483

- 1484 2. Tenured faculty may choose during their careers to emphasize one or another of the
1485 categories of faculty performance. Tenured faculty may submit written proposals regarding
1486 such variable career emphasis to their department chairpersons. Proposals should specify
1487 the standard areas to be emphasized, the standard area in which responsibility is to be
1488 diminished or excluded, and the time period during which the variable career plan will be in
1489 effect. When the chairperson agrees to the proposal, it shall be reviewed by the Department
1490 Personnel Committee, and forwarded to the dean for approval. It is important to understand
1491 that agreements reached under this provision do not supercede the criteria required for
1492 successful review and promotion to full professor. It must also be understood, however, that
1493 there may be some instances where, with the prior agreement of the dean and Provost, and
1494 in ways consistent with the Redbook, that activities such as administrative duties or other
1495 appropriate accomplishments may be considered more heavily as part of a faculty member's
1496 case for promotion. Any agreements reached under this provision shall be made with the full
1497 understanding of the faculty member of the potential implications for future review and
1498 promotion and all understandings should be documented in writing.
1499

- 1500 3. Other Duties - When duties other than those usually classified as teaching, research or
1501 creative activity, or service, are assigned to a faculty member, such as academic
1502 administration, program coordination, or other administrative duties, the effective
1503 performance of these duties shall be evaluated as prescribed by the evaluation procedures of
1504 the University. Ideally such duties would be of a limited scope or duration so as not to impede
1505 the normal time for promotion for any probationary faculty or tenured faculty at the rank of
1506 Associate Professor. In assigning such duties to probationary faculty and faculty at the rank
1507 of Associate Professor, the impact of any such duties on the progress towards promotion
1508 and/or tenure should be given significant consideration. Evidence of effectiveness in
1509 performance of such duties may include but is not limited to materials and other evidence
1510 attesting to department leadership: program coordinator, program review and/or accreditation
1511 documents, student learning outcome reports, student orientations, course sequence and
1512 schedules, part-time faculty recruitment, mentoring and supervision, student concern
1513 documentation, and other activities involving college/department/program academic
1514 leadership.
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1517 **Sec. 4.2 Compensation**
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1519 The College follows the policies and procedures stated in *The Redbook* (See 4.3.2 and specifics below):
1520 "Faculty employment contracts shall be as uniform as possible throughout the University. Each faculty
1521 member's base salary, exclusive of supplemental pay, once established for tenured faculty or during a
1522 contract period at the University of Louisville shall not be reduced except in a fiscal emergency or under
1523 the most extreme circumstances."
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1525 **Sec. 4.3 Work Outside the University**
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1527 The College follows the policies and procedures stated in *The Redbook* (See 4.3.3 and specifics below):
1528 "Full-time faculty of the University may carry out professional work outside the University, with or without
1529 pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of
1530 weeks of their employment in a given year, provided that such work is previously approved by the dean
1531 as appropriate to the faculty member's expertise and the mission of the university and provided that such
1532 work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities
1533 at the University. As part of the documentation for annual review, full-time faculty shall submit a report of
1534 this professional work outside the University under the provisions of this section."
1535

1536 **Sec. 4.4 Paid Tutoring**
1537

1538 The College follows the policies and procedures stated in *The Redbook* (See 4.3.4 and specifics below):
1539 "No one shall receive any compensation for tutoring students in a course in which that person is
1540 empowered to grant the student credit or over which any direct authority may be exercised."
1541

1542 **Sec. 4.5 Sabbatical Leave**
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1544 The College follows the policies and procedures stated in *The Redbook* (See 4.3.5 and specifics below):
1545 "The sabbatical leave is recognized as a serious professional responsibility and shall be utilized for
1546 activities that will improve the faculty member's contribution to the University's missions. A tenured faculty
1547 member who has six contract years of full-time service at the University of Louisville may petition for a
1548 sabbatical leave of absence for one-half contract year on full pay or for one contract year on one-half pay.
1549 Faculty members on twelve-month appointments may receive six months of leave with full pay or twelve
1550 months' leave with one-half pay. No more than one year of leave, as defined in Sections 4.3.6 and 4.3.7
1551 (*The Redbook*), may be counted as years of service toward sabbatical leave. The University shall make
1552 every effort to approve all appropriate applications. Sabbatical leave shall be granted only upon the
1553 approval of the dean (and the Vice President for Health Affairs, where appropriate), the Provost, and the
1554 President. No leave will be granted without the guarantee of at least one year of continued full-time
1555 service after return from the sabbatical leave."
1556

1557 **Sec. 4.6 Leave of Absence Without Pay**
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1559 The College follows the policies and procedures stated in *The Redbook* (See 4.3.6 and specifics below):
1560 "A faculty member may request a leave of absence without pay at any time. The dean of the unit, the
1561 Provost, and the President must approve such leaves. Disciplinary leaves of absence without pay may
1562 be imposed by deans with the approval of the Provost and the President."
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1564 **Sec. 4.7 Leave of Absence With Pay**
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1566 The College follows the policies and procedures stated in *The Redbook* (See 4.3.7 and specifics below):
1567 "A faculty member may request a leave of absence with pay at any time. The dean of the unit, the
1568 Provost and the President must approve such leaves. Disciplinary leaves of absence with pay may be
1569 imposed by deans with the approval of the Provost and the President."
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1571 **Sec. 4.8 Retirement**
1572

1573 The College follows the policies and procedures stated in *The Redbook* (See 4.3.8 and specifics below):
1574 "The Board of Trustees shall make available a retirement annuity plan for full-time faculty members, after

1575 a stated minimum period of service in such capacity. Each retirement annuity contract shall be vested in
1576 the individual participant. Faculty members will retire under the provisions and conditions set out in the
1577 retirement plan adopted by the Board of Trustees.”

1578
1579 **Article 5.0 Resolution of Disagreements**

1580 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4. for details).
1581

1582
1583 **Article 6.0 Termination of Service**

1584 The College follows the policies and procedures stated in *The Redbook* (See Article 4.5 for details).
1585

1586
1587 **Article 7.0 Personnel Documents**

1588 The College follows the policies and procedures stated in *The Redbook* (See Article 4.6 for details).
1589

1590
1591 **Appendix 1: Grievance Procedures**

1592 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4 for details).
1593

1594
1595 **Appendix 2: Termination Process**

1596 The College follows the policies and procedures stated in *The Redbook* (See Appendix "Termination
1597 Process" for details).
1598

1599 Approved by the Faculty: 03-03-95

1600 Amended by the Faculty: 08-24-95; 09-28-95; 02-26-02; 03-04-05; 04-29-05; 03-12-10; 09-17-10; [08-14-](#)
1601 [15](#)

1602 Approved by Faculty Senate: 01-11-06; 10-06-10

1603 Approved by Board of Trustees: 4-18-06; 10-14-10
1604