University of Louisville
College of Business
PERSONNEL DOCUMENT

Approved September 22, 2016

This document establishes the personnel policy for the College of Business in accordance with The Redbook. The faculty accepts responsibility for participation in the governing of themselves in matters relating to selection (appointment), development, evaluation, merit, tenure, and promotion. The faculty includes all personnel appointed as probationary or tenured faculty as defined by the College of Business (COB) bylaws. The goal of this document is to foster the professional growth of the faculty of the COB to meet the mission of the College. It follows that excellence in the faculty will ensure excellence in the education of our students. This document will be the only personnel document in the College of Business.

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PREAMBLE

Principles inherent in this document are:

The selection and development of the best-qualified individuals are essential to achieving the desired outcomes established by the COB.

We value and respect ~~diverse viewpoints and cherish~~ vigorous academic debate. Vigorous debate should never infringe on the atmosphere of collegiality important to building a great organization.

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~~We value cultural and intellectual diversity.~~

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We will focus on continuous improvement in all activities.

Faculty development and achievement will be consistent with the mission, goals, and objectives of the COB, while at the same time allowing faculty to work toward their individual professional goals.

In a rapidly changing and increasingly competitive environment, flexibility of programs and faculty resources is primary to meeting the needs of and providing quality service to the stakeholders of the COB.

Probationary full-time faculty shall focus on teaching and research.

The concentration and distribution of the faculty's intellectual activities in teaching, research, and service shall be consistent with the mission of the COB.

The personnel policy is designed to ensure comparable rigor, risk, and reward among the faculty within the COB.

~~Within the framework of the mission, diversity of intellectual pursuit should be the cornerstone of the faculty. No two faculty members are exactly alike. Each person has different strengths and weaknesses.~~ It is the policy of the COB to build on the strengths of each faculty member and to support improvement in areas of weakness. ~~Although we affirm faculty diversity, some mandates are appropriate.~~

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All faculty members who hold the rank of Assistant Professor or above should establish their credentials as researchers. Every scholar must demonstrate the capability to do original research of a targeted quality consistent with the university's mission as a "premier metropolitan research university."

Remaining current in his or her teaching field is a minimum level of performance for all faculty members. This may be accomplished in a variety of ways, including publication directly related to his or her teaching fields on a regular basis.

Faculty output must be carefully assessed. All activities must be measured by the yardstick of excellence.

The faculty of the College of Business is committed to the highest standards of professional integrity - in their teaching, their research, their service, and their dealings with each other and the community at large. Universities, more than any other secular institution, must hold truthfulness and openness as the highest of virtues. Faculty must be models for students.

ARTICLE 1 Faculty Appointments and Tenure

Section 1.1 Types of Appointments

The COB will allow appointments as specified under Redbook Sections 4.1.1 through 4.1.4 or as otherwise specified in the document.

Section 1.2 Selection (Appointment) – Probationary and Permanent Tenure Faculty

A. Recruiting

Once a faculty position is approved, the responsibility for recruitment and selection rests with the appropriate department or school of the COB. The director, chair, or other appropriate administrative officer is responsible for submitting the recruitment plan to the Dean. Faculty members are expected to serve on screening committees and participate in interviews and other recruiting activities. The Dean or an associate dean must interview all candidates. ~~Appropriate efforts shall be made to recruit a diverse faculty.~~

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B. Appointment Process

A majority of the discipline(s) tenured and probationary faculty must endorse a candidate for appointment before the school director, department chair, or appropriate unit administrative officer submits a recommendation to the Dean. The school director, department chair, or appropriate administrative officer of the unit is responsible for preparing a file for the candidate before an offer letter is sent by the Dean. The file must contain a verification of official credentials and evidence of personal reference checks, along with the recommendation of the director, chair, or appropriate administrative officer.

C. Appointment at Associate or Full Professor and /or with tenure

In the event a candidate is forwarded to the Dean for appointment for a rank higher than assistant professor or with tenure, the appointment file must be accompanied by a recommendation from the COB Personnel Committee.

D. Endowed Chairs or Named Professors

A recommendation by the COB Personnel Committee must be part of the file forwarded to the Dean for all appointments, or reappointments, to any endowed chair or named professorship in the COB. Reappointments shall be considered by the Personnel Committee only after review and recommendation by the departmental faculty. Endowed chair and professorship appointments will be reviewed for possible reappointment every 5 years at the time of the Periodic Career Review.

Section 1.3. Selection (Appointment) Term Faculty

A. Recruiting

Once a faculty position is approved, the responsibility for recruitment and selection rests with the appropriate department or school of the COB. The director, chair, or other appropriate administrative officer is responsible for submitting the recruitment plan to the Dean. Faculty members are expected to serve on screening committees

B. Appointment Process

A majority of the discipline(s) tenured and probationary faculty must endorse a candidate for appointment before the school director, department chair, or appropriate unit administrative officer submits a recommendation to the Dean. The school director, department chair, or appropriate administrative officer of the unit is responsible for preparing a file for the candidate before an offer letter is sent by the Dean. The file must contain a verification of official credentials and evidence of personal reference checks, along with the recommendation of the director, chair, or appropriate administrative officer. Term appointments will be made at the appropriate level as specified in Section 1.3.D.

Endowed Chairs.

A recommendation by the COB Personnel Committee must be part of the file forwarded to the Dean for all appointments, or reappointments, to any endowed chair or named professorship in the COB. Reappointments shall be considered by the Personnel Committee only after review and recommendation by the departmental faculty. Endowed chair and professorship appointments will be reviewed for possible reappointment at the time of review of contract renewal.

Criterion for Appointment and Promotion

Term Instructor. Persons appointed to the rank of term instructor must have completed at least the requirements of the master's degree. Normally they should be able to demonstrate professional experience relevant to the area of the teaching assignment, significant in duration and level of responsibility and current at the time of the appointment. They must also show promise of proficiency in teaching and promise of meeting the COB standards in service.

Term Assistant Professor. Persons appointed as or promoted to the rank of term assistant professor shall hold the appropriate terminal degree in their field of specialization or show that the terminal degree is highly likely to be awarded within one year of the appointment. They must show promise of proficiency in teaching. They must also show promise of meeting the COB standards in service.

Term Associate Professor. Persons appointed as or promoted to the rank of term associate professor must normally have served a minimum of six years in rank as an assistant professor or term assistant professor. At the time of the review process, candidates must demonstrate that they are proficient in teaching (meet benchmark standards of the COB), are proficient in research, and meet the minimum performance standards in service. They must also show continuing promise of meeting the COB standards in teaching and service. Cooperation with colleagues, respect for students, support of COB and school or department programs and activities, personal conduct and integrity are also important dimensions to be considered when making promotion decisions.

Term Professor. At the time of the review process, the candidate must demonstrate accomplishments substantially beyond that required to obtain the rank of term associate professor and must show promise of continuing accomplishments. Candidates for the rank of term professor must demonstrate the achievement of excellence in teaching

(judged by COB standards) and service and proficiency in research. Evidence of accomplishments as a teaching, research, and service role model for junior faculty is expected. Cooperation with colleagues, respect for students, support of COB and school or department programs and activities, personal conduct and integrity will also affect a candidate's case for promotion.

Section 1.4. Selection (Appointment) - Part-time or Adjunct Faculty

A. Recruiting

Part-time and adjunct candidates are to be identified through a review of part-time faculty currently or previously employed by the COB; potential part-time faculty listings maintained on file; recommendations from faculty within the department; a local search or advertisement process or other comparable means. ~~Appropriate efforts shall be made to recruit a diverse faculty.~~

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B. Appointment Process

The candidate for a part-time or adjunct appointment shall provide appropriate credentials including but not limited to a copy of a vita/resume, documentation of relevant professional credentials and an original transcript of the highest degree earned. The director, chair, or appropriate administrative officer shall review these credentials. Faculty with adjunct appointments will have the qualifications of probationary and tenured faculty in the COB. The non-adjunct, part-time appointment will be as a lecturer. Where the non-adjunct, part-time candidate does not have academic and/or professional credentials comparable to those of probationary or tenured faculty within the COB, the director, chair, or appropriate administrative officer shall provide a justification for a waiver of these requirements to the Associate Dean. The Associate Dean shall review and approve requests for the hiring of part-time and adjunct faculty, including any requests for a waiver of the requirement for comparable credentials. Copies of the credentials of all part-time faculty for the current academic year shall be maintained in the Dean's office.

C. Evaluation

Part-time faculty shall be reviewed annually by the department chair, director or appropriate administrator. A copy of the evaluation will be provided the faculty and a copy forwarded to the Dean. Contracts of part-time or adjunct faculty evaluated to be unsatisfactory will not be renewed.

Section 1.5 Criteria for Tenure

At the time of the review process, candidates for tenure at the associate professor rank must show a promise of excellence in research (defined as a record and projected future path of research accomplishment that, if continued, can reasonably lead to an assessment of excellence at the time of review for promotion to full professor), they must demonstrate proficiency (meet benchmark standards of the COB) in teaching, and they must meet minimum performance standards in service. Candidates for tenure at the rank of full professor must demonstrate excellence in either teaching or research and proficiency in the other; or above average performance in both teaching and research.

Proficiency in teaching will be judged by a review of the factors and criteria listed in Appendix A, Sections A-1.3 and A-1.4. An assessment of research quality will normally reflect the types of demonstration works described in Appendix A Sections A-2.2 through A-2.4. Quality as well as quantity of publications will be evaluated. Consideration must be given to the research quality standards established in the department of the candidate and the College. The minimum standards in service are defined in Appendix A Section A-3. A candidate must further show promise of continuing to make a positive contribution to the mission of his or her school or department and the COB. Adherence to professional standards is expected. Cooperation with colleagues, respect for students, support of COB and school or department programs and activities, personal conduct, and integrity are also important dimensions to be considered when making tenure decisions.

Completion of the probationary period with satisfactory annual performance evaluations and pre-tenure review shall not in and of itself constitute sufficient grounds for tenure. The tenure decision is one of the most important decisions made by the university because it carries with it a long-term financial commitment of the institution. Great universities are built on the foundation of great faculties of teacher-scholars. The long-term needs and interests of the University and the College of Business are paramount in tenure decisions. Accordingly, it is important to apply high standards when making tenure decisions.

A candidate for an early tenure review (as defined under Article 1 Section 2.2) must demonstrate accomplishment at a level that is expected for tenure, as described above.

Section 1.6 Criteria for Appointment and/or Promotion: Probationary and Tenured

In addition to the following minimum guidelines, consideration for promotion will include adherence to professional standards, personal conduct and integrity. The promotion recommendation reflects professional achievement and contribution toward the mission and goals of the school or department and the COB. Increasing rigor is expected as faculty members advance through the academic ranks.

Instructor. Persons appointed to the rank of instructor must have completed at least the requirements of the master's degree. Normally they should be able to demonstrate professional experience relevant to the area of the teaching assignment, significant in duration and level of responsibility and current at the time of the appointment. They must also show promise of proficiency in teaching and promise of meeting the COB standards in service.

Assistant Professor. Persons appointed as or promoted to the rank of assistant professor shall hold the appropriate terminal degree in their field of specialization or show that the terminal degree is highly likely to be awarded within one year of the appointment. They must show promise of proficiency in teaching and research. They must also show promise of meeting the COB standards in service.

Associate Professor. Persons appointed as or promoted to the rank of associate professor must normally have served a minimum of six years in rank as an assistant professor. At the time of the review process, candidates must demonstrate that they are proficient in teaching (meet benchmark standards of the COB), and meet the minimum performance standards in service. They must show a promise of excellence in research. Evidence must be presented to demonstrate ongoing, high quality research activity in the development and demonstration

phases as shown in Appendix A Section A-2.3. Consideration must be given to the research quality standards established in the department of the candidate and the College. They must also show continuing promise of meeting the COB standards in service. Cooperation with colleagues, respect for students, support of COB and school or department programs and activities, personal conduct and integrity are also important dimensions to be considered when making tenure decisions.

Professor. At the time of the review process, the candidate must demonstrate accomplishments substantially beyond that required to obtain the rank of associate professor and must show promise of continuing accomplishments. Candidates for the rank of professor must demonstrate the achievement of excellence in either teaching (judged by COB standards) or research (as judged in the context of premier metropolitan research universities), and proficiency (meets benchmark standards of the COB) in the other; or above average performance in both teaching and research. Consideration must be given to the research criteria established in the department of the candidate and the College. Evidence of accomplishments as a teaching and research role model for junior faculty is expected. Cooperation with colleagues, respect for students, support of COB and school or department programs and activities, personal conduct and integrity will also affect a candidate's case for promotion.

Emeritus Designation. A faculty member who has held academic rank in the COB may be given an emeritus appointment by the Board of Trustees upon the recommendation of the school, dean and the president of the university, in recognition of distinguished contributions to the college and the university.

Early Promotion. Faculty requesting consideration for early promotion will be expected to have demonstrated accomplishments far in excess of the normal requirements for the academic rank for which they are applying. The granting of early promotion involves special consideration that should be given only in the case of an unusual amount of quality work done by the candidate. Successful candidates for early promotion to associate professor will be reviewed for tenure at the same time.

ARTICLE 2 Faculty Personnel Reviews

The COB will conduct the following types of faculty personnel reviews: annual (Sec. 2.1); tenure/promotion (Sec 2.2); pre-tenure (Sec. 2.3) and periodic career (Sec. 2.4)

Section 2.1 Annual Reviews

A. Faculty Affected

All term, probationary, and tenured faculty will be reviewed in writing annually. The evaluation will measure each faculty member's success in achieving work plan goals. In addition, part-time faculty members will be reviewed in writing by the appropriate officer responsible for their supervision. . (The appropriate officer is defined as the faculty member’s department chair or the director of the School of Accountancy for faculty members in accounting.)

B. Annual Review Process

On or before the second Friday in January of each year, full-time faculty member will submit an annual report to the appropriate officer of the COB and to the Office of the Dean The appropriate officer, for good cause, may extend the deadline in writing. No annual report submitted after January 15 will be considered for a merit-based salary increase without the written consent of both the Dean and the appropriate officer.

The appropriate officer shall prepare a one-page draft of the summary evaluations of each faculty member's performance. For probationary and tenured faculty, this summary evaluation will evaluate teaching, research and service contributions from the previous year on a scale from 0 to 4 (as discussed in Appendix A) and emphasize opportunities for further improvement and development in the coming year(s).

For term faculty, the summary evaluation will evaluate performance with respect to the assignments of the prevailing contract/work plan.

The appropriate officer will submit a summary evaluation of each faculty member's performance to the Office of the Dean by the first Friday in February.

For probationary and tenured faculty and term faculty, the Dean's Office will prepare copies of all summary evaluations and annual reports prepared by faculty members for distribution to the members of the COB Performance Review Committee. The Performance Review Committee will meet prior to the fourth Friday in February to review all evaluations to ensure uniform treatment of all COB faculty members. The Performance Review Committee (PRC) shall reach consensus on all evaluations. Each faculty member will receive a copy of the summary evaluation in teaching, research and service as agreed to by the Performance Review Committee using the scale of 0 to 4 (as described in Appendix A). The appropriate officer will meet with each member of his or her faculty as soon as practicable after the completion of the work of the PRC to discuss with them performance of the past year and provide guidance for the coming year.

B.1 Appeal of the Rating

B.1.1 Appeal to the Performance Review Committee

If the faculty member disagrees with the rating of the PRC, he or she has one week after being informed of the rating to submit a written appeal to the Chair of the PRC. The appeal should include a statement of reasons as to why the faculty member believes a change is in order. The PRC will consider the appeal and make a recommendation to the Dean within four weeks of the receipt of the appeal. The PRC may invite the faculty member and/or the faculty member's appropriate officer to meet with the committee to clarify any issues.

B.1.2 Final Decision

The Dean will make a final decision by the second Friday in April on the rating after considering input from the faculty member, the PRC, and the appropriate officer who did the original evaluation.

B.2. Confidentiality

As with any individual or committee that handles confidential material or information, it is required that such information will be held in the strictest of confidence.

C. Period covered by the annual report

The annual report will cover the calendar year preceding the due date for all areas except research. Research for the three preceding calendar years will be included in the annual report. Annual reports will be submitted in a standardized format as provided by the Dean.

D. Annual Report Content

It is the responsibility of the faculty member to include all pertinent information to be considered during the evaluation process. The report will include evidence of accomplishment in teaching, research, and service as specified in the work plans for the periods covered by the report

E. Rating System

An individual rating will be given in teaching and service. The ratings will be:

4 Excellent – superior achievement relative to benchmark standards
3 Above average – exceeds benchmark standards
2 Meets benchmark standards (demonstrates proficiency)
1 Below average – acceptable, but below benchmark standards
0 Does not meet the performance standards of the COB

The annual review rating in research can range from zero to four, depending on the classification of work based on the COB Journal lists and other acceptable intellectual contributions.

F. Performance Review Committee

The department chair or director will be the discipline representative on the Performance Review Committee unless the department selects another discipline faculty member. That person will be a tenured faculty member who does not serve on the Personnel Committee. The election will take place during the first discipline faculty meeting of the academic year. The Associate Dean and the Associate Dean for Undergraduate Programs will be non-voting, but participating members of the committee. The chair of the committee will be elected by the voting members of the committee and may be any member of the committee.

Section 2.2 Tenure/Promotion Review

A. Probationary Period

The timetable for tenure review is given in chapter four of the Redbook. Normally, faculty members will serve the full six-year probationary period for the granting of tenure. Experienced faculty from other universities may request credit toward tenure. The time credited toward tenure must be stipulated in the initial letter of appointment.

B. Year of the Review

The tenure review shall normally occur in the year following the fifth year of faculty service at the university or as stipulated in the initial letter of appointment. A faculty member who is an assistant professor at the time of tenure consideration will also be concurrently considered for promotion to associate professor. Tenure consideration before the completion of the probationary period may occur in the rare case where the faculty member has demonstrated accomplishment at a level which is far superior to that expected for tenure. A faculty member may request only one early tenure evaluation.

C. Process for Tenure/Promotion Review

C.1 Tenure: The tenure review begins in the Office of the Dean. By May 1 of the academic year prior to the review year, faculty members will be notified by letter that they will be reviewed for tenure during the next academic year. A copy of the letter will be sent to the department chair or school director and the chair of the COB Personnel Committee.

C.2 Promotion: Promotion begins with a letter from the faculty member to the Dean. For consideration, the request must be received in the Dean's Office by May 1 for review during the fall semester.

C.3 The Reports: Unless specified otherwise, all due dates refer to the Fall or Spring Undergraduate Semester Calendar in which the candidate is being considered for tenure/promotion. It will be referred to as the semester. The faculty member shall file an original and one copy of a report (with executive summary) with the chair of the COB Personnel Committee one week prior to the beginning of the semester in which he/she will be reviewed. The report should include all available annual work plans and annual reviews for all years covered by the tenure or promotion review. Copies of the annual reviews may be obtained from the Dean’s office. The faculty member may include any other information he or she wishes to be considered. The completed review packet should be converted to electronic form for internal purposes. In addition the faculty member must provide separately to the chair of the COB Personnel Committee by June 1 (November 1) three (3) copies of the research materials to be included in the extramural review packet, and an electronic version of the same packet.

C.4 Extramural Reviews: Three extramural reviewers for the candidate's files are to be selected. The appropriate administrator and faculty in the discipline(s) of the candidate will select potential extramural reviewers. The candidate has the opportunity to review the list of potential reviewers and reject a reviewer if the candidate reasonably expects the reviewer to be biased. All extramural reviewers must have research credentials of distinction and academic recognition in the field of the candidate. The reviewer must be tenured and hold faculty rank equal to or higher than the rank being sought by the faculty member under consideration. The chair of the COB Personnel Committee in consultation with the appropriate administrator is responsible for assuring that all of the reviewers are capable of providing a fair and unbiased evaluation. The candidate will determine the content of the extramural packets. However, the material in the packets should relate only to research. The chair of the COB Personnel Committee will be responsible for mailing the extramural review packets. Extramural reviewers will be selected by June 15 (November 15) and will be asked to respond by August 1 (January 1). A copy of the

review with the identification of the reviewer deleted will be provided to the faculty member. The faculty member shall be provided with an opportunity to respond in writing to the evaluation. The extramural reviews and the faculty member's response becomes part of the tenure/promotion report due to be filed one week prior to the beginning of the semester

C.5 School or department recommendation: Two copies of the documentation will be sent to the appropriate administrator. (Where feasible, any and all documentation should be in electronic form.) Tenured faculty members in the candidate's discipline review the materials and, at a meeting called by the appropriate administrator, vote by secret ballot "recommended" or "not recommended." Members of the COB Personnel Committee do not participate in this part of the process. Ballots will provide an opportunity for evaluation in the specific areas of teaching, research, service, and adherence to professional standards and collaboration with students and colleagues.

The ballot of the appropriate administrator must be signed. All other faculty members have the option of signing their ballots. The ballots will be submitted to the appropriate administrator in a sealed envelope. Candidates with joint appointments within the COB will be evaluated by the faculty in each of the respective disciplines and evaluated by the appropriate administrators for which the joint appointment applies.

The appropriate administrator will summarize the discipline(s) vote and will also provide his or her own concise (one page) recommendation, including a clearly stated rationale for his or her decision. These two reports will be sent to the candidate by the third Friday of the semester. The candidate must reply to the appropriate administrator no later than the fourth Friday of the semester about any items of disagreement or clarification. The candidate may meet with the appropriate administrator to discuss the issues. The final recommendation by the appropriate administrator, the final discipline summary, all ballots, and any written replies by the candidate are due to the Personnel Committee no later than the fifth Tuesday of the semester.

C.6 Personnel Committee Recommendation: The COB Personnel Committee considers the documentation presented for each candidate under review. The COB Personnel Committee will "recommend" or "not recommend" in a concise (one page) summary report no later than the eighth Friday of the semester). A copy of the report will be sent to the candidate and to the appropriate administrator.

The candidate has one week after receiving the committee's recommendation to report to the committee any items of disagreement or clarification. The candidate may meet with the committee to discuss the issues.

The committee will consider the additional input provided by the faculty member and issue a final committee report and recommendation to the Dean with a copy to the appropriate administrator and the candidate no later than the eleventh Friday of the semester.

C.7 Dean's Recommendation: The Dean will review a copy of the complete tenure/promotion file, the candidate's personnel file, and the COB Personnel Committee report. The Dean will prepare a recommendation and will discuss the decision with the candidate prior to finalizing the report. Prior to December 1 (April 15), the Dean will

send the recommendation to the candidate, with copies to the chair of the COB Personnel Committee and the appropriate administrator. The Dean will then forward the recommendation along with the entire file to the Graduate School and the Provost.

C.8 Addition of new material: A faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Provost.

C.9 Access to the File: The candidate may examine any substantive material in the tenure/promotion file but shall not be informed of the identity of evaluators.

C.10 Notification: If the recommendation of the Dean, the Personnel Committee or appropriate administrator is negative, the candidate must be notified by certified mail, unless the candidate officially withdraws their name from consideration.

C.11 Appeals: Any appeals will be in accordance with the established University grievance procedures. A candidate who receives a negative recommendation on promotion or tenure from the appropriate administrator, the Dean of the COB, or the Provost may request a hearing before the University Faculty Grievance Committee. This request must be delivered on or before the tenth working day following the action challenged.

C.12 Withdrawal from the process: If the candidate exercises the option of withdrawing from early tenure and/or promotion consideration, the process halts, and no recommendation is forwarded from the COB. A candidate may only withdraw from the regular tenure review process if he/she resigns from the university.

C.13 Promotion of Administrators: In the case of a promotion review of a school director, department chair, or other COB administrator who would normally conduct such a review, the Dean shall appoint a full professor from the school or department to administer the review process.

Section 2.3 Pre-Tenure Reviews

Each probationary faculty member shall be reviewed at the mid-point of his or her probationary period at the University.

A. Timing of the Pre-Tenure Review

A.1 For faculty members who claim no prior service years, the pre-tenure review process shall take place during the sixth semester of their appointment.

A.2 For faculty members with one year of prior service, the pre-tenure review process shall take place during the fifth semester of their appointment.

A.3 For faculty members who claim two years of prior service, the pre-tenure review process shall take place during the fourth semester of their appointment

A.4 For faculty members who claim three years of prior service, the pre-tenure review process shall take place during the third semester of their appointment.

A.5 For faculty members who claim four or five years of prior service, the pre-tenure review process shall be part of the hiring process. No faculty member who wishes to claim more than three years of prior service should be hired unless there is agreement

among the discipline faculty, the chair or director, the COB Personnel Committee and the dean that the candidate has established a record that indicates a high probability for a successful tenure decision.

B. Process

B.1 The process begins in the office of the dean. Prior to the end of the second week of the semester prior to the review, the faculty member will be notified by letter that they will be subject to a pre-tenure review. An electronic copy of the letter will be sent to the faculty member, the appropriate administrator and the chair of the COB Personnel Committee.

B.2 The faculty member shall compile a file containing copies of his or her prior annual review(s) and work plans(s) (with an executive summary) and any other documentation he or she deems appropriate. One copy of the file is to be submitted to the chair of the COB Personnel Committee and one copy to the faculty member's director, chair, or appropriate administrative officer. This file must be submitted no later than the first Friday of the review semester.

B.3 Prior to the end of the sixth week of the review semester, the COB Personnel Committee and the discipline's tenured faculty shall consider the documentation presented for each faculty member under consideration. No later the end of the seventh week, the COB Personnel Committee will prepare a summary report (not to exceed two pages). By the end of the seventh week, the appropriate administrator will also prepare a summary report specifying his/her own evaluation and summarizing the evaluations of the discipline's tenured faculty. Both reports will indicate whether the faculty member is making adequate progress toward tenure. If the conclusion of either report is that the faculty member is not making adequate progress, the report(s) will include suggestions for improvement. A copy of both reports will be forwarded to the Dean. The appropriate administrator will receive a copy of the Personnel Committee report. Prior to the end of the eighth week of the semester, the Dean will issue a report to the faculty member containing all of the assessments (including the Dean's) as to the faculty member's progress toward tenure.

B.4 A faculty member may add newly available material evidence to the file for consideration before the end of the sixth week of the review semester.

Section 2.4 Periodic Career Reviews

All faculty members with tenure shall undergo periodic career reviews to evaluate their contribution to the mission of the college. The COB Personnel Committee shall conduct the review and issue an evaluation report. The evaluation report shall characterize the member's overall contribution as "satisfactory" (meeting the minimum requirements of the COB) or "unsatisfactory" (not meeting the minimum requirements of the COB). If the faculty member under review holds a funded chair or professorship, the Personnel Committee will also make a recommendation to the Dean as to whether the faculty member should be reappointed to the chair or professorship.

A. Timing of the Periodic Career Review

A.1 Faculty members with tenure will undergo a career review after every fifth year of service.

A.2 Exceptions: A successful promotion review will serve as a career review, and the next review will not take place until five years after the promotion review. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year.

A.3 All periodic career reviews for faculty members with tenure take place in the spring semester of the academic year.

B. Process

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

B.2 The Dean's Office will provide to the Personnel Committee copies of the faculty member's annual reviews and work plans for the period since the last review no later than the first Friday of the review semester. The faculty member may add any other documents he or she deems appropriate.

B.3 The Personnel Committee examines the file and prior to the end of the eighth week of the semester issues a report to the faculty member. The faculty member has until the end of the ninth week of the semester to respond to the Personnel Committee. By the end of the tenth week of the semester, the Personnel Committee issues a (maximum 2 page) report to the Dean with copies to the faculty member and the appropriate college officer.

B.4 If the conclusion of the report is that the faculty member's overall contribution has been "satisfactory" (met the minimum requirements of the COB) over the review period, the faculty member begins the next review period in the following academic year.

B.5 If the conclusion of the report is that the faculty member's overall contribution has been "unsatisfactory" (did not meet the minimum requirements of the COB), the report shall state the deficiency (ies) that was (were) the basis for the conclusion. Within thirty calendar days of receipt of the report, the faculty member, in consultation with the appropriate college officer, shall prepare a career development plan, acceptable to the Dean, to remedy the deficiency (ies).

B.5.1 If the faculty member completes the agreed upon career development plan, the faculty member has one year to demonstrate satisfactory performance.

B.5.2 The faculty member then undergoes another periodic review in the following academic year.

B.5.3 A faculty member whose performance is judged unsatisfactory in the second review is subject to appropriate disciplinary action, which may include proceedings for termination as described in Article 4.5 of the Redbook.

C. Term Faculty

Faculty members with term appointments will be reviewed at the beginning of the last semester of their contract by the appropriate office and the Personnel Committee. The officer and the Personnel Committee both send a (maximum 1 page) report to the Dean stating the conclusions of the review. No term faculty member may be reappointed if the review is unsatisfactory.

Section 2.5 Grievance Procedures

If a faculty member believes that a performance evaluation or tenure/promotion review is based upon improper consideration or otherwise results from a condition believed to be unjust or inequitable, he or she may submit a grievance in accordance with Article 4.4 of the Redbook.

Section 2.6 Personnel Committee

The Personnel Committee shall consist of an odd number of tenured, non-administrative faculty members. The committee will elect a chair.

There will be one member from each school or department that has 5 or more full-time, tenured or probationary faculty members. If the above scheme results in an even number, an at-large member will be elected by the COB faculty.

Each school or department(s) and/or the entire faculty will elect as needed an alternate to replace any member who is being reviewed for promotion during that period. A member of the Personnel Committee undergoing periodic career review need not be replaced by an alternative. The faculty member under review will not participate in the discussion of his/her own periodic review.

Committee members will serve for a period of three years, and terms will be staggered to assure continuity. Vacancies to unexpired terms will be filled as originally designed. Elections will take place by September 15. Committee members will be limited to three consecutive terms.

ARTICLE 3 Conditions of Faculty Employment

Section 3.1 Annual Work Plan

By the end of January, the appropriate officer of each academic department will prepare and submit to the Dean's Office annual work plans for each faculty member, consistent with Base-Line Work Plans, an administrative document external to the Personnel Document

The standards for teaching, research, and service are given in Appendix A.

Section 3.2 Presence at the University

A. Minimum requirements

The dean may require the unit faculty to report two weeks before classes begin in Fall and to continue in actual attendance until two weeks after the end of the final examination period in Spring except when an approved faculty work plan provides otherwise. Although professional activities might require their absence on occasion, faculty members normally are expected to be available on campus to meet with their colleagues and their students.

B. Office Hours

Faculty members must make themselves available to students by observing posted office hours and by allowing students to arrange appointments at other mutually convenient times.

C. Faculty Governance and Duties

Participation in departmental meetings and college assemblies is assumed. Under normal circumstances, faculty members are also expected to serve on department, college, and university committees. Faculty are expected to respond to students and requests for information in a timely manner. Faculty are expected to participate in important College and University events, including graduation.

D. Meeting Classes

Each faculty member is responsible for the conduct of assigned courses and is required to meet such classes and make such assignments as will fulfill the learning objectives of the course.

Section 3.3 Work Outside the University

Work outside the University is covered under Redbook Section 4.3.3. Paid or unpaid work outside the university may not interfere with commitments made on the annual work plan. Faculty members are required to include in the annual report an accounting of all professional work done outside the university.

APPENDIX A Annual Review Guidelines

Section A-1 Teaching

Student learning is the primary reason universities exist. Our teaching must both educate and entice future scholars. Those who teach, above all, must be well informed and steeped in the knowledge of their fields. Hard work and serious study underpin good teaching. A faculty member must help students acquire the skills and knowledge necessary for a successful professional career or for advancement to the next stage in their formal education. An outstanding faculty stimulates active, not passive, learning and encourages students to be critical, creative thinkers, with an appreciation that learning is a lifelong endeavor.

A-1.1 Determination of Teaching Loads

A faculty member's teaching assignments will be determined as part of the development of the annual work plan. See Section 3.1.

A-1.2 Minimum Standards

At a minimum, faculty are expected to meet classes on time and as scheduled, maintain up-to-date course content, develop syllabi that are consistent with the course learning objectives, have well-articulated assessment mechanisms, allow students reasonable time and opportunity to complete the course evaluation, hold office hours commensurate with the teaching schedule, and maintain a professional relationship with students.

While a faculty member is free to craft his or her own approach to teaching a particular course, the course learning objectives are the responsibility of the program faculty. Faculty members may not omit any learning objectives unless the program faculty agrees. The term "program faculty" refers to the faculty who teach in a designated program, such as the undergraduate accountancy program and the MBA programs.

In the case of the undergraduate business core and the MBA program core, the faculty must agree to the learning objectives that are part of the core curriculum. The involved program faculty consists of the faculty of the undergraduate programs and masters programs that use the business core as the foundation for their programs. Faculty members may not omit any course learning objective unless the involved program faculty agrees.

A-1.3 Assessment

Factors to be used in evaluating teaching performance shall include any evidence deemed relevant by the faculty member and the appropriate officer that provides support specific to his or her teaching proficiency. However, as a minimum, the supporting evidence should include student evaluations, evidence of meeting course learning objectives, and evidence of remaining current in one's teaching field. Judgments about teaching will be based on all evidence presented for the period of review.

A-1.4 Criteria for the teaching factors include:

Syllabi prepared in such a manner that the student, by reading the syllabi, will be properly informed regarding the topics covered in the course, the relevance of the topics in terms of learning objectives, and the expectations of the faculty member or members teaching the course.

Consistency between the graded components and the learning objectives.

Acceptable student evaluations.

Evidence of course and/or teaching improvement, if appropriate.

Justifiable grade distributions

Evidence of the faculty member's currency in his or her teaching field.

When evaluating a faculty member's teaching accomplishments, consideration should be given to such factors as the number of course preparations during the year, the size of the faculty member's classes, and new approaches being tried by a faculty member in a course.

** As agreed upon by the COB faculty on October 19, 2007, the criteria for the evaluation of teaching appear in Appendix B.

A-1.5 Annual Review Ratings:

4 *Excellent – superior achievement relative to benchmark standards of the COB*

Considering the teaching assessment factors as a whole, the faculty member's performance is deemed to be well in excess of the COB's acceptable performance standards.

3 *Above average – exceeds the benchmark standards of the COB*

Considering the teaching assessment factors as a whole, the faculty member's performance is deemed to exceed the COB's acceptable performance standards.

2 *Meets benchmark standards of the COB*

Considering the teaching assessment factors as a whole, the faculty member's performance is deemed to meet the high quality performance standards expected of a COB faculty member.

1 *Below average – acceptable but below COB benchmark standards*

Considering the teaching assessment factors as a whole, while the faculty member's performance is generally acceptable, substantial deficiencies are noted in one or more of the factors for evaluating teaching.

0 *Does not meet the performance standards of the COB*

Considering the teaching assessment factors as a whole, the faculty member's performance is deemed unacceptable. This rating indicates ongoing deficiencies in several of the factors or extreme deficiencies in one or more of the factors.

Section A-2 Research and scholarly activity

Through our research we will develop, communicate, and apply innovative ideas that influence theory and practice. We engage in research activities to discover and disseminate knowledge and improve our curricula.

A-2.1 Determination of research expectations

A faculty member's research expectations will be determined as part of the development of the annual work plan.

A-2.2 Minimum Standards

Each faculty member with a research responsibility is expected to engage in scholarly activity leading to the output of published works. (See the table below.) For purposes of the annual review process, the COB will use the following reporting horizon: 3 years for articles appearing in leading discipline or field journals (the elite journal list); 2 years for articles appearing in other significant, refereed discipline or field journals (the high quality journal list), 1 year for all other demonstration works. It is expected that each faculty member with a research responsibility will exhibit a process that regularly moves from work-in-progress (development work) to published work (demonstration work). Faculty members who publish in management journals outside of their primary departmental and discipline affiliation will be evaluated as if they had published in journals in their primary field, e.g., a finance professor publishing in the American Economic Review.

A-2.3 Assessment

Table of Acceptable Work in the Two Research Phases

Phase	Acceptable Works
Work-in-progress (development)	Working papers
	Conference presentations
	Conference proceedings
	Work submitted for publication
	Articles in a revise and resubmit status
	Presentations at faculty research seminars
	Scholarly books in progress
	Scholarly book chapters in progress
	Submission of grant proposals
	Award of grant proposals
	Creative projects or designs
	Grant reports
	Technical reports from applied research
Published works (Demonstration)	Articles accepted for publication in refereed journals (academic, professional, and pedagogical)
	Monographs
	Scholarly books and textbooks
	Chapters in scholarly books and textbooks
	Peer refereed research arising from funded (grant) research
	Publication in trade journals related to one's discipline or research expertise
	Published academic book reviews in refereed journals
	Professional books related to one's discipline or research expertise

A faculty member may make a case for including materials other than those listed above as research and scholarly activity. The administrator who reviews the faculty member's annual work plan will judge which area is appropriate for such materials. Disagreements between the appropriate officer and the faculty member will be presented to the PRC for resolution. COB faculty will be made aware of the acceptable deviations to the above.

A-2.4 Criteria for Research

The COB faculty agrees to a list of Elite and High Quality journals. At least every three years, the list will be reviewed and evaluated by the Research Committee and presented to the COB faculty for approval. This list will serve as the approved list annually for research outlets.

Faculty members who publish in a journal or other appropriate outlet as defined in Section A-2.3 that is not on either of the Elite or High Quality journal lists will have their publications counted in the one-year category. Prior to the submission of a paper to a journal outside the six business discipline areas, faculty members may make a case to their departments that the non-business journal be considered as equivalent to the journals in the Elite or High Quality Journal lists. A positive department recommendation would be forwarded to the Research Committee for its approval or denial. Faculty making a case for equivalency should cite evidence such as citation indexes, journal rankings, impact factors, the quality of the editorial review board, and/or the quality of the authors publishing in the journal. The list will be maintained by the Office of the Dean and will be published on the COB intranet.

Publications in journals in the Elite list are worth 4 points toward a faculty member's annual research evaluation in the year of acceptance and 4 points in each of the next two years. Publications in journals in the high quality list are worth 2 points toward a faculty member's annual research evaluation in the year of acceptance and 2 points the following year. Other publications in the one year category (with the exception of prestigious scholarly books published by various top quality academic presses - which will be evaluated by the PRC on a case by case basis) receive 1 point each, with a maximum of 2 points in any year. Paper presentations at professional meetings are worth ½ point, as are proceedings, but the maximum points one can accumulate as a result of paper presentations and/or proceedings is ½ point in any year. The maximum of two points in the one year publication category is inclusive of the ½ point for presentations and/or proceedings.

If a faculty member's research point total exceeds 4 points in any year, that faculty member will be considered as a candidate for an additional adjustment increment out of the 20 percent of the raise pool that is administered outside of the Personnel Document formula. Other faculty members are also eligible for these adjustment increments based on their record of performance.

A-2.5 Annual Review Ratings

The annual review of research covers the current and the two prior calendar years.

The annual review rating can range from zero to four, depending on the classification of work based on the COB Journal lists and other acceptable intellectual contributions.

Section A-3 Service

Service is considered contributing talent to the department, the college, the university, students, the profession, and the economic development needs of the broader community. Service within the university community need not be specifically related to the faculty member's expertise. Service outside the university community should relate to the faculty member's expertise.

A-3.1 Determination of Service Expectations

A faculty member's service expectations will be determined as part of the development of the annual work plan. Normally, probationary faculty members will have a reduced service expectation.

A-3.2 Minimum Standards

Each faculty member who has a service component must engage in active service that produces meaningful output for the college or university. Service activities shall support the college and department outcomes.

A-3.3 Assessment

Service activities outside of the university should relate directly to one's field of knowledge and flow directly out of this professional activity. Assessment of service is difficult. It requires a great deal of judgment on the part of the evaluator. The faculty member is responsible for presenting evidence of his or her service accomplishments in a way that will best allow the administrator to make sound and reasonable judgment as to the quality of the service. This should include documentation from those who received the service, where available.

Civic projects related to community economic development may also be counted among a faculty member's service contributions.

A-3.4 Criteria

A-3.4.1 Internal Service

Quality of work produced

Benefit to the university, COB, school or department.

Benefit to the students served

A-3.4.1 External Service

Benefit to the recipient of the service.

Relationship of the activity to the professor's academic expertise

Benefit to the university, college, school or department.

Impact on the reputation of the College and the University

Benefit to economic and social development in the Louisville, Kentucky, or the broader national and international community

A-3.5 Faculty Duties and Governance:

Participation in COB governance and other normal duties is part of the responsibility of all faculty members who are not on leave or sabbatical. They include participation in department and College faculty meetings, recruiting faculty, responding in a timely manner to correspondence and requests by the chair and others in the college, and active participation in discipline promotion and tenure decisions. Faculty members are expected to participate in these activities without regard to the other parts of the annual plan. Attention to these duties is no less an expectation than holding classes at the scheduled time.

If the faculty member is evaluated as not fulfilling responsibilities in faculty duties and governance, the faculty member will receive a rating of "Does not meet the performance standards of the COB" in Service. In addition, faculty members who substitute other responsibilities for service are not excused from their responsibilities for these duties and governance.

A-3.6 Annual Review Ratings

Expectations will be adjusted based on the percentage of service responsibility established in the work plan.

4 *Excellent - superior achievement relative to the benchmark standards of the COB*

The faculty member's performance is deemed to be well in excess of the COB's acceptable performance standards.

3 *Above average - exceeds the benchmark standards of the COB*

The faculty member's performance is deemed to exceed the COB's acceptable performance standards.

2 *Meets the benchmark standards of the COB*

The faculty member's performance is deemed to meet the high quality performance standards expected of a COB faculty member.

1 *Below average – acceptable but below COB benchmark standards*

While the faculty member's performance is generally acceptable, substantial deficiencies are noted in meeting service responsibilities.

0 *Does not meet the performance standards of the COB*

The faculty member's performance is deemed unacceptable. This rating indicates ongoing deficiencies in service.

Section A-4 Adherence to Professional Standards

Faculty members are expected to adhere to applicable standards related to their profession. The annual evaluation of adherence to professional standards will be reflected in the teaching, research, and service rating categories, as applicable.

Section A-5 Collaboration with Colleagues and Students

Cooperation and respect for faculty, staff, and students are expected of all members of the College of Business community. The university is an institution that cherishes vigorous academic debate ~~and respects diverse viewpoints~~. The annual evaluation of collaboration with colleagues and students will be reflected in the teaching, research, and service rating categories, as applicable.

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Section A-6 Overall Evaluation

The rating in the Overall category shall be a composite score based on the faculty member's ratings in each of the Teaching, Research, and Service categories and their related work plan percentages. The percentages assigned to each of the rating categories will be multiplied times the appropriate evaluation multiple number (see section A-7, below) to calculate a weighted average score.

Section A-7 Merit-based Salary Increase (MBSI)

Annual salary increases for the faculty of the COB will be based on the overall composite score. The composite score shall be determined using the weightings from a faculty member's work plan and the score for each category as assessed by the Performance Review Committee.

	Evaluation Multiples
Excellent	4
Above average	3
Meets benchmark standards of the COB	2
Below average	1
Does not meet the performance standards of the COB	0

The merit pool shall be divided between absolute amounts and percentages based on a 50-50 split.

In any year(s) for which there is no merit pay increase, the composite score of that (those) year(s) shall be averaged with the composite score in the subsequent year in which there is a merit pool to calculate an average composite score for the subsequent year.

Unless otherwise directed by the university, each year approximately 80% of the total faculty salary raise pool will be awarded using the merit process outlined above. Approximately 20% of the faculty salary raise pool will be reserved for merit-based discretionary pool that will be awarded using a consensual process among department chairs and the Dean.

Maintenance of teaching credentials - 20 % - Maintains a qualified faculty status as a Scholarly Academic (SA), a Practice Academic (PA), a Scholarly Practitioner (SP), or an Instructional Practitioner (IP) as defined by the COB under the AACSB standards. If not in a qualified status is making progress toward regaining these credentials.

APPENDIX B Criteria for Evaluating Teaching

Preparation - 30% -- Evaluated by the Department chair, includes innovation, course currency from an evaluation of the syllabus, use of rubrics and assessment in support of our assessment initiative and to improve course presentations over time; consideration of the number of preparations.

Student feedback - 20% - Based on data from the last two questions on the teaching evaluation form.

Supplemental teaching duties - 30% - Evaluated as a totality by the department chair, including such dimensions as schedules and holds reasonable office hours; helps with curriculum planning; advising and mentoring students; assists with career management; keeps Digital Measures data up to date.

Maintenance of teaching credentials – 20% - Maintains faculty qualifications as defined within the accreditation standards for business accreditation of the Association to Advance Collegiate Schools of Business.