



POLICY NAME

Faculty Accountability

POLICY NUMBER

TBD

INITIAL ADOPTION AND EFFECTIVE DATE

Enter date

POLICY APPLICABILITY

This policy applies to all faculty as defined in Redbook, Article 4.1 at the University of Louisville.

REASON FOR POLICY

The University of Louisville (University) is committed to fostering a diverse and inclusive work environment that promotes a culture of mutual respect with integrity, transparency, and accountability. For that reason, this policy articulates expectations for faculty conduct and establishes a process to address faculty misconduct. Its primary goal is to establish a system of “progressive discipline.” Another goal is to provide a record of the University’s attempts to address misconduct by imposing progressive discipline to successive incidents more severely and giving the faculty member an opportunity to improve conduct before imposing more severe discipline or termination. The use of progressive discipline also enables the University to show to the faculty and other employees that conduct in violation of expectations will be responded to firmly, consistently, and equitably.

POLICY STATEMENT

The University may discipline faculty when a faculty member’s conduct violates the University’s standards of conduct, policies, or when a faculty member violates federal, state, or local laws or standards of professional conduct to which the faculty member is subject. The University encourages a progressive discipline approach, which shall include a statement of areas of concern to the faculty member, action steps needed for improvement and a timeline to review progress. Progressive discipline is a constructive process that allows the faculty member an opportunity to improve conduct. Failure to demonstrate improvement may result in additional disciplinary action. Progressive discipline actions may include, but are not limited to, the following forms: (1) a verbal warning, (2) a written warning, (3)



removal or reassignment of administrative or supervisory appointments, (4) restrictions on activities including university-related travel, (5) a leave of absence without pay, with prior approval of the President and Provost in accordance with Redbook 4.3.6, (6) payment of fines, penalties, or restitution, (7) a reduction in supplemental salary for a stated period, and/or (8) loss of research funds or of privileges. Following procedures described in the Redbook (Sections 4.36 and 4.3.7) the University may impose immediate discipline if the conduct or behaviors of a faculty member warrant an immediate separation from campus activities. Progressive discipline actions may culminate in the initiation of termination proceedings in accordance with Redbook Article 4.5.

Disciplinary action should consider the severity and frequency of the misconduct, its impact on the institution, and the extent to which the conduct in question deviates from standards of conduct, policies, or expectations. In all instances, the University reserves the right to take such action as it deems appropriate and which is commensurate with the nature of the misconduct, and which is consistent with the Redbook and other university policies and applicable laws.

Nothing in this policy shall impede a faculty member's right to the exercise of academic freedom as articulated in the Redbook. Nothing in this policy shall affect a faculty member's right to grieve under provisions of the Redbook, nor does this policy affect termination of service described in the Redbook (Section 4.5.)

Corrective Action

Faculty behaviors may warrant that corrective action to be taken by the faculty member. For example, a faculty member may be referred to Delphi Center for additional training.

Examples of Grounds for Discipline

Examples of conduct that warrants progressive or immediate discipline include but are not limited to the following:

1. Repeated refusal to complete University-mandated training;
2. Chronic time and attendance problems (for example, chronic lateness to start a class), including unauthorized absences;
3. Disrespectful, hostile, offensive, harassing, intimidating or discriminating conduct toward students, employees, or others, including violation of the University's policies on sexual harassment, discriminatory harassment, and retaliation;



4. Negligence that results in loss of or damage to University property or injury to other persons;
5. Inappropriate or unauthorized use of University property or resources (for example, viewing or storing pornography on a University computer, or use of a university account for non-university business purposes);
6. Failure to follow or willful disregard of University, college, school, division, or departmental policies and procedures;
7. Dishonesty, including knowingly furnishing false, misleading, or incomplete information or reports to the University;
8. Falsification of information on an employment application, on academic records, on a curriculum vitae, or in the conduct or reporting of research;
9. Theft of University property, embezzlement, or intentional misuse of procurement cards;
10. Acts or threats of violence;
11. Violations of the University's policy statement as a drug-free institution;
12. Providing alcohol or drugs to underage students on or off University property;
13. Conduct that severely disrupts the work environment;
14. Violation of federal, state or local laws.

Activities or conduct of a faculty member falling outside the scope of employment shall constitute misconduct only if such activities adversely affect the faculty member's ability to perform their duties, or the interests and/or reputation of the University.

Faculty Dispute Resolution and Grievance

Faculty members retain the right to grieve disciplinary actions that have been implemented under the regular terms of the faculty dispute resolution and grievance policy and procedures and in accordance with the provisions outlined in the Redbook, Article 4.4.

Confidentiality

All records regarding the discipline of a faculty member shall be kept confidential to the extent permissible by law.

Non-Retaliation

Consistent with the University's Non-Retaliation Policy, there shall be no retaliation against persons involved in the execution of this policy or in imposing faculty discipline. Any such retaliatory actions are a violation of this policy and subject to disciplinary action up to termination.



Non-Discrimination

University of Louisville is committed to provide equality for all persons regardless of race, sex, age, color, national origin, ethnicity, creed, religion, diversity of thought, disability, genetic information, sexual orientation, gender, gender identity or expression, marital status, pregnancy or veteran status.

For the University's notice on non-discrimination

<https://louisville.edu/hr/employeerelations/notice-of-nondiscrimination>

RELATED INFORMATION

[University Employee Code of Conduct](#)

[University Faculty Handbook](#)

[The Redbook, Section 1.1.6 Suspension or Removal of University Personnel](#)

[The Redbook, Article 4.4 Resolution of Faculty Disputes](#)

[The Redbook, Article 4.5 Termination of Service](#)

[Faculty dispute resolution and grievance](#)

[KRS 164.360 Appointment and removal of president, faculty, and employees.](#)

[AAUP Statement on Procedural Standards in Faculty Termination Proceedings](#)

PROCEDURES

When investigating possible violations of this policy, the faculty member's supervisor shall make reasonable efforts to meet with the faculty member to discuss the faculty member's conduct. If the matter directly involves the faculty member's supervisor, the next-level supervisor shall initiate the procedures. The purpose of this meeting is to inform the faculty member of the concerns that have arisen and to give the faculty member an opportunity to respond. A written notice of the concerns raised shall be provided to the faculty member within ten (10) days of the meeting or within ten (10) days of the date the supervisor or next-level supervisor became aware of the possible violation. The faculty member will then have ten (10) calendar days after receipt of the notice to provide a written response.

Taking into consideration the faculty member's response and any other information gathered, the supervisor, in consultation with the department chair, dean, or other



appropriate administrative official, shall determine disciplinary or corrective action, if any. In determining the appropriate course of action, these individuals shall seek guidance from the Provost, the Provost’s Office of Faculty Affairs, the Academic Unit’s Office of Faculty Affairs, Human Resources, and/or the Office of University Risk, Audit, and Compliance. The purpose of such guidance is to ensure consistency in the application of discipline across the University and to ensure that all relevant policies and faculty expectations are taken into consideration. Any discipline imposed must first be approved by the individual who serves at least two levels removed from the faculty member, or one level above the individual imposing the discipline.

After discipline is determined, written notice of the decision shall be provided to the faculty member within ten (10) calendar days. Written notice shall include, but not be limited to, the nature of the misconduct; the standard of conduct, policy, law, or other expectation that was violated; the discipline to be imposed; action steps required; the date the discipline will take effect; the date by which the action steps shall be completed; and a date for progress to be reviewed. With the exception of a verbal warning, a copy of the written notice shall be placed in the faculty member’s personnel record, and shall be sent to the Provost Office of Faculty Affairs. As previously noted, proceedings for termination for cause shall be administered in accordance with provisions in the Redbook, Article 4.5.

RESPONSIBILITIES

Faculty members are responsible for knowing and understanding this policy.

The faculty member’s immediate supervisor and the department chair, dean, or other appropriate administrative officials are responsible for administering discipline in accordance with this policy.

The Office of the Provost is responsible for interpretation of this policy and for educating faculty and their academic units and programs about this policy and its procedures. The Office of the Provost is also responsible for regular assessment of this policy for inequities by identity group and to revise it to correct identified issues.

FORMS/ONLINE PROCESSES

Include links to related forms or online processes.

RESPONSIBLE AUTHORITY

Executive Vice President and University Provost



RESPONSIBLE UNIVERSITY DEPARTMENT/DIVISION

Office of the Vice Provost for Faculty Affairs
Address, City, State
General Telephone Number
General Email

HISTORY

Revision Date(s):
Reviewed Date(s):

The University Policy and Procedure Library is updated regularly. In order to ensure a printed copy of this document is current, please access it online at <http://louisville.edu/policies>.