

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

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

**PREAMBLE**

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

Faculty should be aware of their responsibilities regarding shared governance, and should be encouraged to participate. At the same time, the College of Education and Human Development should regularly re-evaluate its committee structures, adding, changing, or dissolving committees to make sure that they are serving present governance needs effectively. Also, it is important that in-service training is conducted for new faculty and other interested faculty members to acquaint them with the concepts, policies, practices, and procedures of faculty governance. New faculty orientation is an excellent time for this training.

**THE PERSONNEL COMMITTEE**

The Personnel Committee shall advise the Dean on all personnel matters affecting the faculty, including but not limited to: appointment, promotion, tenure, salaries, and general personnel policies and procedures.

1. The Personnel Committee shall advise the Dean and make recommendations at the Dean's request or on the Committee's own initiative. The Committee may act upon the recommendation of one of its members or upon being petitioned by a faculty group or an individual faculty member.
2. The Personnel Committee shall meet privately to consider matters involving individual faculty members and shall make its recommendations regarding these matters in writing to the dean, who shall meet with the Committee to hear the reasoning of its members before taking action contrary to the Committee's recommendations.
3. The Dean shall provide the Personnel Committee with relevant documents and pertinent information on any matter brought before the Committee. The Dean shall inform the Personnel Committee of all administrative decisions on matters which the Committee has discussed and on which it has made recommendations. The Dean shall then inform the faculty member concerned and the faculty member's Department Chairperson of the Committee's recommendation and the dean's decision. These results shall be recorded by the Committee secretary.
4. Any member of the faculty may request, in writing, to appear before the College Personnel Committee to discuss any personnel matter affecting the faculty member and to ascertain the Committee's recommendation in the case. Unless restricted by law, the Personnel Committee will make diligent efforts to comply with any such request.

5. The Personnel Committee shall keep discussions and recommendations confidential if they involve individual faculty members; however, the Committee, in session, may in matters of fact finding, elect to seek additional input from faculty and/or administrators not on the Committee.
6. Before making a negative recommendation regarding a faculty member's tenure decision, the Personnel Committee shall invite the faculty member to meet with the Committee.
7. The Personnel Committee's recommendations on all personnel matters shall be presented to the Dean with a clear and concrete explanation, and a copy of this recommendation shall be provided to the faculty member concerned and the faculty member's Department Chairperson.
8. The Personnel Committee and its individual members shall communicate and consult with individual faculty members and with the faculty as a whole regarding personnel practices, procedures, and policies in the College.
9. The Personnel Committee may invite any faculty member who is leaving the University to make a written statement (or to meet with the Committee) regarding the College's personnel practices, procedures, and policies.
10. Personnel decisions in the College shall be based on evidence collected, organized, and presented by faculty members undergoing review, in cooperation with their Department Chairperson. It is the responsibility of each person being reviewed to provide useful information which will facilitate the decision-making process, and it is the responsibility of each person involved in the review process to protect the integrity of the review file (the triptych or other review portfolio).
11. At all stages of the review process within the College, reviewers shall assess the same body of evidence.
12. Once the review file has been compiled and while it is being reviewed within the department, it is in the custody of the Department Chairperson or the designated representative of the department personnel committee, who shall manage access to the file.
13. Once the review file has been forwarded to the Dean, it shall remain in the custody of the Dean, who shall manage access to the file while it remains in the College.
14. Once the review file has been compiled, no additional evidence (as distinct from the recommendation of reviewers or rebuttals by the faculty member undergoing review as provided for in this document) shall be added to the review file unless it is made available to all reviewers or reviewing bodies.
15. Recommendations of reviewers and any other material added to a candidate's review file shall become part of the file. The candidate may examine any material in the file, but the person who has custody of the file shall ensure that the candidate is not informed of the identity of external evaluators.
16. The faculty member undergoing review shall be informed in writing of any evidence or charge of misconduct that has been included in the review file and shall have the opportunity to respond in writing to such evidence or charge. The faculty member's written response or a written statement that the faculty member has declined to respond shall be included in the review file and shall be made available to all reviewers.
17. Faculty members undergoing review may appeal decisions of the Dean in accordance with procedures established in *The Redbook*.

## **Article 1.0 Faculty Appointments and Tenure**

### **Sec. 1.1 Types of Appointments**

The College follows the policies and procedures stated in *The Redbook* (see 4.1.1 and specifics under 4.1.2, 4.1.3, and 4.1.4):

- A. Full-time faculty *appointment* shall be one of three kinds: 1) non-tenurable, 2) probationary, or 3) permanent tenure.
- B. Part-time faculty members shall be appointed by contract to engage in specified instruction, research, or service/administration. Part-time faculty roles and titles are as follows: If a part-time faculty member is hired to teach, their title shall be 1) adjunct instructor or 2) adjunct professor. If a part-time faculty member is hired to engage in research, their title shall be 1) a research scientist; or 2) a senior research scientist. If a part-time faculty member is hired to supervise or perform service/administratively duties, their title shall be 1) a coordinator or 2) a senior coordinator. These classifications shall be based on the part-time faculty member's academic qualifications, experience, and seniority. Part-time faculty appointments shall not be eligible for tenure or count toward time for acquisition of tenure.

Part-time faculty members shall be included in the development of any specific performance criteria and the process for changing status from an adjunct instructor to an adjunct professor; a research scientist to a senior research scientist; and a coordinator to a senior coordinator. These criteria shall be noted in the part-time faculty member's contract.

Part-time faculty members in the College shall only be judged on their specific work expectations. The criteria in each area shall be the same as those for tenure and promotion of tenure-track faculty members, adjusted for the specific work expectations to be evaluated. Part-time faculty members shall be reviewed annually in writing and these reviews shall be maintained in the office of the Dean.

The criteria for appointment and promotion of part-time faculty shall focus on the specific work expectations of the faculty member (i.e., teaching, service/administration, research). The College shall provide electronic or other forms of notice of part-time teaching opportunities to hire the most qualified part-time faculty members and make the hiring process as open as possible, consistent with the requirements of law and University policies.

- C. Emeritus appointments should originate in the Department. A department personnel committee recommendation along with the recommendation of the Department Chair should be sent to the College Personnel Committee, who in turn will make their recommendation to the Dean consistent with the criteria in Section 3.4.2.c. The Department's recommendation should include a narrative summary citing the professional accomplishments and record of the university service of the retiring faculty member. The Dean will then forward a recommendation to the Provost. Consistent with the requirements of *The Redbook*, Section 4.1.3, this recommendation will then be forwarded to the President and the Board of Trustees for approval.

### **Sec. 1.2 Non-tenurable Full-Time Appointments**

- A. Temporary Appointments

Temporary appointments to the various academic ranks may be made for 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.

## B. Term Faculty Appointments

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

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.
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 and service, and may perform research and/or administrative functions, in academic, clinical, or field setting in connection with an established academic program of the College.
  - a. Clinical faculty appointees 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 appointees 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.
    - i. A candidate applying for promotion from Assistant Clinical Professor to Associate Clinical Professor is expected to have demonstrated proficiency in the primary assigned area and at least emerging leadership with respect to assigned duties.
    - ii. A candidate applying for promotion from Associate Clinical Professor to Clinical Professor is expected to demonstrate a continuing level of proficiency in the primary assignment as well as a high level of leadership in one or more area(s) of assigned duties.
3. Research faculty appointees 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 work plan assignment of 60 percent in Research.
4. The contract renewal review by the Dean shall serve as the periodic career review of Clinical and Research faculty members. The College's Bylaws specify requirements and processes regarding participation and franchise in unit governance by Clinical and Research faculty members.
5. A non-tenurable 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 non-tenurable status as prior service (Section 4.1.2.B.4 of *The Redbook*).

### **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).
- B. Instructors  
Probationary appointments to the rank of instructor shall be for stipulated terms of one year each.
- C. Assistant and Associate Professors  
Probationary appointments to the rank of Assistant or Associate Professor shall be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter.
- D. Professors  
Professors shall be awarded tenure if employed subsequent to the initial probationary appointment.

### **Sec. 1.4 Continuous Appointments (Tenure)**

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

## **Article 2.0 Faculty Performance: Standards and Definitions**

The standards articulated in this section are fundamental to all faculty personnel decisions and particularly to decisions involving promotion and tenure, which are the basis of the most comprehensive evaluation of faculty performance.

### **Sec 2.1 Teaching**

Teaching is the guiding of the University's 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, the multiple criteria to be used to evaluate teaching include, 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. Teaching also includes the directing of master's theses, specialist professional papers, doctoral dissertations, and mentoring of students in interdisciplinary programs.

### **Sec 2.2 Service**

Faculty engage in service activities when they make their academic or professional expertise available to

others in the University, the profession, the local community, or beyond the local community. Service is the application of knowledge in one's particular discipline or field of study. Service also includes the application of general academic expertise resulting from experience as a university educator, as when one participates in faculty governance within the University or when service activities outside of the University are linked to one's general academic expertise. Service may also include the development of knowledge, insight, or new intellectual understanding that results from applying one's particular academic expertise in service activities.

### **Sec 2.3 Research or Creative Activity**

Research or Creative Activity may include empirical, theoretical, or applied research. Research requires no other justification than the intrinsic good of knowing and understanding. Research may also establish connections across the disciplines (multidisciplinary), reveal to specialists and non-specialists alike the larger context of knowledge, and interpret the original research in one's discipline or field. Research or Creative Activity also undergirds effective teaching and facilitates communication of the knowledge of one's discipline or field to students. There are multiple ways in which research and scholarship are part of the University's commitment to engage the community. A scholarly agenda may incorporate community-based participatory research, practice-based research, engaged scholarship, and scholarship of engagement. Engaged research is scholarly work done in full partnership with the community. It consists of research and application of scholarship for the mutual benefits of the institution, community partners, and larger communities (local, regional/state, national, global).

### **Sec 2.4 Overall Expectations**

Unless otherwise specified in this document, all personnel reviews will seek to determine proficient performance in the three standards articulated in *The Redbook* as well as above. All faculty will be expected to perform at a proficient level with respect to each of these three standards.

### **Article 3.0 Faculty Personnel Reviews**

In addition to initial reviews at the time of appointment, all faculty members of the College are reviewed for various purposes and at various times during their careers. Career reviews of tenurable faculty include annual review, pre-tenure review, review for tenure and promotion to Associate Professor (which normally occur concurrently), review for promotion to Professor, and periodic career review. Career reviews of faculty members with non-tenurable appointments include annual review, and reviews for promotion as provided in Sections 3.2 and 3.4.

### **Section 3.1 Reviews of Faculty Prior to Appointment**

#### **A. Appointment Reviews (see also criteria in 1.1)**

1. The Department Chairperson, after receiving a recommendation by the Department faculty or faculty committee, recommends to the Dean the person to be appointed as well as title and rank.
2. The Dean submits the recommendation to the College Personnel Committee for its advisement.
3. If approved by the Dean, the Dean makes a recommendation to the Provost informing the Department Chairperson and the College Personnel Committee of its contents.

### **Sec. 3.2 Annual Reviews**

Reviews of all faculty in the College are to be completed annually to assure continued proficient performance, identify deficiencies, and support salary decisions.

A. Purpose

1. The primary purpose for establishing a set of Annual Review procedures is to formalize and actively encourage faculty development and productivity in teaching, service, and research and creative activity.
2. An additional purpose is to recognize and reward those who meet or exceed Department and College performance expectations. A faculty member who demonstrates optimal performance on the work assignment should be eligible for the maximum salary increase as 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 considered for the maximum salary increase.

B. Criteria and Eligibility for Annual Review

Each Department Chairperson will, in collaboration with the faculty of the 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's mission statement and objectives, and the standards of faculty performance in sections 2.0, 3.3, and 3.4 of the College's Personnel Policies and Procedures. These standards refer to specific forms of scholarly endeavor to be considered and 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 percentage of work effort in each area of the Annual 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 Committees 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 and creative activity, and service. The Annual Work Plan will be included in the materials submitted for the review.

C. 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 Annual Work Plan and criteria in sections 2.0, 3.3, and 3.4 of the College's "Personnel Policies and Procedures" document as called for above. A full-time faculty member is defined as anyone holding a full-time faculty appointment in a department. Faculty performance will be evaluated as: not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious. Part-time instructors whose principal employment is in another unit or is outside the University will not be subject to this review.
2. Each full-time faculty member will prepare and submit to his or her Chairperson a written Annual Review Report no later than January 15. Faculty who fail to turn in an Annual Review Report by the deadline without prior written approval from their Chairperson, the Dean, or without providing extenuating circumstances may not be eligible for a salary increase.
  - a. The Annual Review Report 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

personnel file consistent with the Preamble and College Personnel Committee process and will judge faculty accomplishments by the specific allocation of effort agreed to as part of the prior year's Annual Work Plan, including both the attainment of the goals and quality of the goals as called for in that Plan as well as the execution and quality of role assignments that appear in the Plan (see Article 4.0). It is the responsibility of the faculty member to provide evidence of the quality and impact of his or her teaching, research and creative activity, and service. The Annual Work Plan will be included in the materials submitted for the review.

The Annual Review meetings between faculty members and Chairpersons will commence by January 15 and be completed by March 1.

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

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

Written recommendations shall be placed in the faculty member's College mailbox. The Chairperson shall also notify the faculty member in writing of the availability of the recommendation in their mailbox at the College of Education and Human Development. The Chairperson should also offer to send the Annual Review recommendation electronically to the faculty member.

If the faculty member disagrees with the Chairperson's written recommendation and wishes to appeal, the faculty member shall meet with the Chairperson to discuss the recommendation letter within 10 calendar days after receiving the Chair's recommendation. If the disagreement remains unresolved following this meeting, the faculty member has the right to insert into the record a written rebuttal of the Chairperson's recommendation before it is presented to the Dean. The faculty member must submit any written rebuttal not more than 10 calendar days after the Chairperson's recommendation is available in the faculty member's mailbox or 5 calendar days after the meeting with the Chair if the faculty member requested such a meeting. The rebuttal must set forth the reason for the appeal but may not include additional evidence. Corrections of errors of fact may be included. Any appeal will go forward on the basis of the written Annual Review record as originally presented.

- c. All recommendations for Annual Review salary increases and written rebuttals will be forwarded to the Dean by March 15 of each year.
- d. After all Annual Reviews recommendations are forwarded to the Dean, Chairpersons will group all faculty within their Department in categories (not satisfactory, needs improvement, satisfactory, meritorious, and highly meritorious). Then they will meet with the other Chairs, the Dean and the Dean's designated senior staff to merge the Annual Review recommendations of all faculty members into final recommendation categories. The grouping process will be college-wide in order to strive for fairness in judgment



across the College.

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

#### D. 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 10 calendar days after receiving the Dean's recommendation. If this meeting does not resolve the faculty member's appeal, the faculty member must submit a written rebuttal to the Dean not more than 10 calendar days after the meeting with the Dean. The Dean shall provide written notification of the Dean's final recommendation within 10 calendar days of receiving the written rebuttal. If the Dean chooses not to alter the recommendation after the meeting and the review of the faculty member's written rebuttal, the faculty member may present a written appeal to the College Personnel Committee within 10 calendar days of the Dean's final recommendation. The appeal to the College Personnel Committee 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 an independent written recommendation 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 decision that differs from the Personnel Committee's recommendation.

At the conclusion of the appeals process, faculty members who have successfully appealed will have their ranking recalibrated thereby finalizing the full College Annual Review faculty salary rankings.

#### E. Chairpersons and Associate/Assistant Deans

1. The Dean will serve as the Chairperson's or Associate and/or Assistant Dean's supervisor in evaluating them during the Annual Review process. The Dean will seek the advice of Department faculty members and relevant others as appropriate.
2. The Annual Review of Chairpersons, Associate Deans, and Assistant Deans will commence on February 1 of each year.
3. The Chairperson's, Associate Dean, or Assistant Dean's Annual Review will recognize administrative as well as any faculty responsibilities.
4. The Chairperson, Associate Dean, or Assistant Dean and the Dean will meet to review the Annual Work Plan and examine the indicators of success for the administrative position.
5. The Dean will inform the Chairperson, Associate Dean, or Assistant Dean by letter whether, in the Dean's judgment, the Chairperson's or Associate/Assistant Dean's performance has

- been: not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious with regard to the criteria in Article 2.0, above, and with regard to the Chairperson's, Associate Dean's, or Assistant Dean's administrative responsibilities. The recommendation shall be specific regarding weaknesses and deficiencies (if any), as well as suggestions (if any) for improvement and possible adjustments in future Annual Work Plans.
6. A copy of the Dean's Annual Review letter will be retained by the Chairperson, Associate Dean, or Assistant Dean and one copy will be placed in the Dean's Office personnel files.
  7. If the Chairperson, Associate Dean, or Assistant Dean disagrees with the Dean's recommendation and wishes to appeal, the Chairperson, Associate Dean, or Assistant Dean must first discuss the area(s) of disagreement with the Dean in a meeting scheduled within 5 calendar days after receiving the Dean's recommendation. If the disagreement is not resolved during that meeting, the Chairperson, Associate Dean, or Assistant Dean may present a written appeal to the College Personnel Committee within 10 calendar 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. 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 decision that differs from the Personnel Committee's recommendation.

At the conclusion of the appeals process, Chairpersons, Associate Dean, or Assistant Deans who have successfully appealed will have their ranking recalibrated thereby finalizing the full College Annual Review salary rankings.

#### F. Salary Calculations

1. The final calculation of the salary increases will be based on the total pool of monies received for the year from the University and the total number of Annual Review points, calculated as set for below, that each faculty member, Chairperson or Associate/Assistant Dean accrues.
2. Administrative officers and appropriate faculty bodies shall protect faculty members from inequities in salary.

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

The total annual merit raise pool will then be distributed to all faculty members who are rated needs improvement, satisfactory, meritorious, or highly meritorious as a percent of their current base salary (supplements excluded) through the process described below. The total annual merit raise pool shall be distributed as follows: (a) When the merit pool is less than or equal to 3% or to the federal cost of living adjustment, whichever is greater, 70% of the pool would be distributed to all of those receiving a rating of needs improvement or higher and 20% would be used as a meritorious pool. The distribution of the 70% to go to all faculty members receiving raises would be as a percentage of their base salary (i.e., if there is a 3% raise pool and all faculty are receiving a raise, each faculty member receiving a satisfactory rating would receive  $.7 \times 3\%$  or a raise of 2.1%). Faculty receiving the rating of needs improvement shall receive .50 (50%) of the percentage of the raise provided to those receiving ratings of satisfactory.

Those rated as meritorious or highly meritorious shall also receive one or two annual review points, respectively. For Assistant Professors the final number of annual review points earned (i.e., 1 point for a rating of meritorious or 2 points for a rating of highly meritorious) shall be multiplied by 1.0 to gain a weighted total of Annual Review points to be awarded. For Associate Professors, the total number of annual review points earned shall be multiplied by 1.2 to gain a weighted total of Annual Review points to be awarded. For Full Professors, the

total number of annual review points earned will be multiplied by 1.5 to gain a weighted total of Annual Review points to be awarded to the individual. The 20% of the pool designated as the meritorious portion, as noted above, would then be divided by the total number of weighted Annual Review points awarded to arrive at the value of each annual review point. The remaining 10% of the total pool 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 provided by the University exceeds 3% or the amount of the federal cost of living adjustment, whichever is greater (base level), the 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 members receiving the rating of "needs improvement" shall still receive .50 (50%) of the percentage of the raise provided to those receiving ratings of "satisfactory."

3. 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, this monetary point value will be multiplied by each faculty member's, Chairperson's, or Associate/Assistant Dean's total Annual Review points to calculate each individual's final Annual Review salary increase.
4. The Dean will inform each faculty member, Chairperson, Associate Dean, and Assistant Dean in writing of the 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 related to University decisions concerning raises and Annual Review appeals, 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 every 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 Dean, 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 Dean, and Assistant Dean. The file shall contain the following items:
    - 1) The Chairperson's recommendation regarding Annual Review salary increases including evaluations of not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious;
    - 2) The Dean's recommendation regarding Annual Review points and Annual Review salary increases;
    - 3) A copy of the Annual Review Report.
  - e. The annual file described above (in 3.2.E.3.d), shall become part of the record to be used in subsequent reviews of faculty members, Chairpersons, Associate Deans, and Assistant Deans.
5. By July 1 of each year, the Dean will provide an annual written report to the College's faculty

and the Provost. The report will contain:

- a. The number of not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious performance ratings;
- b. 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;
- c. 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; and
- d. 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 (such as personal illness, the birth or adoption of a child, or care of an ill family member) may request an extension of the probationary period for no less than six months and no more than one year. A second extension may be granted for a second extenuating circumstance. An extension shall not be granted more than two (2) times within the probationary period of a faculty member. 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. 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

##### 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 or termination as

provided in Redbook Section 4.5.3. 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 conducted by reference to the duties 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:

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

b. Criteria for tenure are:

- (1) Teaching;
- (2) Service to the profession, the Department, the College, the University, or the community;
- (3) Research or creative activity.

c. Performance Standards for tenure are:

- (1) Evidence of proficient performance in each of the above three areas;
- (2) 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, the most comprehensive evaluation of faculty performance. 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) Faculty are expected to work collaboratively with students, colleagues, practitioners, and other persons within and outside the University in their teaching activities. 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 College's 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 are evaluated by students using the standard evaluation form approved by the faculty. Candidates for promotion and tenure should submit a list, by semester, for courses taught in at least the three years preceding consideration. Candidates must include 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 standpoint that allows more mature reflection and appreciation of its relevance to their lives and careers. Therefore, letters from former students add an important dimension to the evaluation of teaching effectiveness.
  - (c) Testimony of Colleagues: The effectiveness of teaching can be competently assessed by colleagues who have had the opportunity to observe the classroom performance of a candidate or to observe the candidate engaged in the many additional sorts of teaching that occur outside the classroom. Therefore, letters solicited from such colleagues provide significant information regarding the evaluation of teaching effectiveness. If a candidate has no disciplinary peers at the University, peer review should be solicited from outside the University.
  - (d) Teaching Materials: Candidates should submit course syllabi and other teaching materials they have prepared to organize and communicate the knowledge in their field for the purposes of teaching. These materials should demonstrate the candidate's use of appropriate and effective pedagogies, which may include such things as cooperative learning, instructional technologies, recognition of individual differences, pedagogical papers, and so on.
  - (e) Student Research Projects: Candidates may submit student research projects (articles, presentations, etc.) for which the candidate served as a mentor. If more than one faculty member served as a mentor, the candidate should clearly indicate each mentor's role in the mentoring process. Where appropriate, information relating to the publication rate and outlets of student dissertations, theses, and other research efforts of students may also be included and considered. In addition, successfully engaging students at all levels in research, service projects, and other teaching related activities can be considered as additional evidence of proficiency in teaching.
  - (f) Teaching Related Grants: Candidates may submit information about funding obtained that supports the enhancement of instruction and program development. The candidate should clearly indicate what role they played in the submission and/or administration/delivery of the grant.
  - (g) Additional Evidence: Candidates may submit any additional evidence of teaching effectiveness, such as analyses of student performance assessments, licensing exam outcomes, board scores, nationally-normed progress assessments, peer reviews, teaching portfolios, curriculum development, participation in teaching circles, and mentoring (students, part-time faculty, and junior faculty). Teaching load, class size, and level (e.g., bachelor's, master's, doctoral) may be a factor in the evaluation of teaching effectiveness, but it may not be the primary factor.
  - (h) Self-assessment: Candidates must submit a written self-assessment of their teaching.
- (3) Judgments of proficiency of teaching performance will be based upon review of all the evidence presented as well as other evidence provided for in this document.

b. Service

- (1) Faculty members are expected to work collaboratively with students, colleagues,

practitioners, and other persons within and outside the University in their service activities. Proficiency is based on what is typically expected at our benchmark institutions and is further defined by the College's and University's mission statements. Because service contributions and impact are often difficult to measure, units should encourage faculty members to describe and document their contributions in service for merit and promotion considerations.

(2) Evidence of Effectiveness in Service

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

c. Research or Creative Activity

- (1) Faculty members are expected to work collaboratively with students, colleagues, practitioners, and other persons within and outside the University in their research or creative activities. Proficiency is based on what is typically expected at our benchmark institutions and is further defined by the University's mission statement to be a premier metropolitan research university. In order to be evaluated as proficient in research or creative activity, faculty members must have developed one or more lines of coherent and focused scholarship consistent with the mission of the College and University and appropriate for their rank and stage of career. It is expected, for example, that the research or creative activity will have an impact on the faculty member's field of study that is recognized at a national or international level and that is also consistent with their rank and state of career (e.g., those seeking promotion to Full Professor shall be expected to have a higher level of national and/or international recognition and impact than would be expected at the Associate Professor level). Although quantity of scholarly products alone is not a sole or sufficient criterion, faculty members must demonstrate a consistent level of effort that includes publication of their work in outlets consistent with the mission and goals of the University and where at least a portion of that work has been submitted for peer review, with a demonstrated record of favorable review. It is also

expected that those faculty members whose scholarship is in areas where extramural funding is appropriate will demonstrate a consistent record of seeking and obtaining such extramural funding to support their scholarship and related professional work. Finally, the demonstration of proficiency as a mentor to students in their development as scholars and researchers (e.g., through students' successful publication of work carried out under the candidate's supervision), although not required for tenure and/promotion can provide additional evidence of proficiency of the candidate in research and creative activity.

(2) Evidence of Research or Creative Activity

- (a) Publications: Candidates should submit for review books or monographs published on merit and not totally subsidized by the author, articles published in professional journals of quality that utilize editorial review boards, and any other published works that have resulted from the candidate's scholarship and that provide evidence of quality.
- (b) Other Forms of Evidence: Candidates should submit any of the following:
  - 1) A complete list of unpublished papers, posters, and workshop materials presented at meetings of national associations that employ a review process and a complete list of grant proposals, especially if funded, that employ a review process;
  - 2) Funded grant proposals that represent the results of research and creativity; the candidate should clearly indicate what role they played in the submission and/or administration of the grant. For multidisciplinary grants the designation of Co-Principal Investigator should carry the same weight as Principal Investigator.
  - 3) Products such as instructional aides, videos, research instruments, or computer software that have resulted from research and creativity;
  - 4) Materials and other evidence attesting to public speeches, television presentations, participation in forums, and other activities involving scholarship.
  - 5) Products related to entrepreneurial efforts including but not limited to University approved licenses, patents, industry partnerships, and University affiliated consulting/training programs.
- (c) External Peer Evaluations: External evaluation of research is required for tenure of probationary faculty and will follow the procedures set forth in Section 3.5. The quality of publications and other forms of scholarly dissemination is judged best by colleagues in the candidate's field or discipline. Reviews solicited from disciplinary peers are an important part of the evaluation of research and creativity.
- (d) Additional Evidence of Research: Candidates may submit any additional evidence that speaks to the quality of their research and creativity, such as citations, reviews, or other evaluative commentary regarding their work.
- (e) Self-assessment: Candidates must submit a written self-assessment of the quality of their contributions.
- (f) Judgments of proficiency of the candidates' contributions will be based upon review of all the evidence presented.

G. Pre-Tenure Review

1. Purpose

At the mid-point of their probationary periods at the University, consistent with Section 4.2.2.G of *The Redbook*, probationary faculty members 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 identifies to department chairpersons the 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 work closely with the Department Chairperson to address the criteria for the award of tenure listed above in 3.3.F.2. A portfolio resembling a triptych should be prepared, although it need not be as extensive as the triptych required for promotion or tenure. 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.
- b. The Department Chairperson prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and forwards the assessment to the College Personnel Committee (copy to the faculty member).
- c. Independently of the Chairperson's review, the Department Personnel Committee prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and forwards the assessment to the College Personnel Committee (copy to the faculty member).
- d. The College Personnel Committee prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and sends its assessment together with the previous recommendations of the Department Chairperson and Department Personnel Committee to the Dean for review. A copy of the College Personnel Committee's assessment is provided to the faculty member and the faculty member's Department Chairperson.
- e. The review shall not be final until it is approved by the Dean.
- f. The written assessment as prepared by the College Personnel Committee and as approved by the Dean will be submitted as part of the evidence for the tenure review.

## H. Evaluation for Tenure

1. Each year, Department Chairpersons identify to the Dean those faculty members who will be reviewed for tenure. 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 their Department Chairperson to address the standards in 2.0, above, and the criteria delineated in 3.3.F.2. Annual Work Plans and Annual Reviews will be included in the materials submitted for the review, as well as materials assembled and reports produced under Section 3.3.G. Evaluation of the candidate's materials will be guided by the work specified in the candidate's Annual Work Plans.
2. The Department Chairperson prepares a written assessment of the faculty member's performance and forwards the assessment to the Dean and 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 and 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 recommendation.
6. The College follows the policies and procedures stated in *The Redbook* (see 4.2.2.H.4 and specifics below). A file of all information and documents pertinent to the tenure evaluation shall be compiled with the cooperation of the faculty member. Recommendations and any other material added shall become part of the file. The faculty member may examine any substantive material in the tenure file but shall not be informed of the identity of external peer evaluators. The faculty member may add newly available material evidence for reconsideration by the previous internal evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost. The evidence in this file shall be reviewed according to the procedures specified herein and in the University's Minimum Guidelines.
7. Except in cases of early tenure, evaluations for tenure, once originated, shall proceed as indicated above unless the faculty member under review resigns from the University. Evaluations for early tenure shall proceed as indicated unless the faculty member requests withdrawal.
8. As called for in *The Redbook* in cases involving tenure, if the recommendation of the Executive Vice President and University Provost, Dean, or Department Chairperson is negative, the candidate may request a hearing before the University's Faculty Grievance Committee. This request must be delivered on or before the tenth day following the action challenged.

### **Sec. 3.4 Promotion in Rank**

#### **A. Criteria for Promotion of Full-Time Faculty Members**

1. Criteria for evaluation for promotion are:
  - a. Teaching;
  - b. Research and creative activity; and
  - c. Service to the profession, the College, the University, or the community.
2. A candidate for promotion bears primary responsibility for collecting, organizing, and presenting evidence to support the request for promotion. 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. In the review process, attention is paid both to productivity since date of last hire or promotion (whichever is more recent) and accomplishments over one's entire career. In all cases, faculty members must supply dates for all listed activities and accomplishments, making it possible for reviewers to identify clearly those that took place since the date of hire or last promotion (whichever is more recent). Candidates should work closely with their Department Chairperson to address the following criteria for promotion in rank:
  - a. Promotion of Non-tenurable Faculty Members

(1) Promotion of Clinical Faculty Members

a) Promotion of Lecturer to Senior Lecturer and Promotion of Assistant Clinical Professor to Associate Clinical Professor

1. Normally, at least four years in rank as a Lecturer or Assistant Clinical Professor, two of which must be at the University;
2. 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;
3. In demonstrating proficient performance, candidates are encouraged to provide evidence of substantial related leadership contributions to the Department, College, University, and/or education community that have positively and significantly impacted specific programs or initiatives; and
4. 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 Senior Lecturer to Distinguished Lecturer and Promotion of Associate Clinical Professor to Clinical Professor

1. Normally, at least four years in rank as a Senior Lecturer or Associate Clinical Professor, two of which must be at the University;
2. At least eight years of college or university experience at the rank of Lecturer or Assistant Clinical Professor or above since earning a terminal degree or other appropriate degree.
3. 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;
4. In demonstrating proficient performance, candidates are encouraged to provide evidence of substantial related leadership contributions to the Department, College, University, and/or education community that have positively and significantly impacted specific programs or initiatives; and
5. 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.

(2) Promotion of Research Faculty Members

a) Promotion of Assistant Research Professor to Associate Research Professor

1. Normally, at least four years in rank as Assistant Professor and/or Assistant Research Professor, two of which must be at the University;
2. 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;
3. 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; and

4. 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

1. Normally, at least four years in rank as an Associate Research Professor and/or Associate Professor, two of which must be at the University;
2. 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;
3. 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;
4. 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; and
5. 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 Members

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

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

(2) Promotion of Tenured Faculty Members from Associate Professor to Professor

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

c. Emeritus

Emeritus is an honorary title that may be conferred on retired faculty who have had distinguished professional careers and who have made significant contributions to the College. 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 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 Department and College directories. Emeritus appointments may be revoked by the Dean after consultation with the College Personnel Committee.

(1) Criteria for Candidacy: Successful candidates for emeritus faculty status will have:

- a) At least 10 years of continuous full-time employment at the University prior to retirement; and
- b) An outstanding record of one or more of the following:
  1. Scholarly achievement commensurate with national and international standards within the candidate's specific discipline;
  2. Teaching and educational contributions; or
  3. Service to the Department, College, or University well beyond normal expectations.

#### B. Evaluation for Promotion: Process

Each year, Department Chairpersons recommend to the Dean those faculty members who will be reviewed for promotion. 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.

1. The Department Chairperson prepares a written assessment of the faculty member's performance and forwards the assessment to the Dean and the College Personnel Committee (copy to the faculty member).
2. 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 and the College Personnel Committee (copy to the faculty member and the faculty member's Department Chairperson).
3. 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).
4. 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 Executive Vice President and Provost regarding promotion and/or tenure, informing the faculty member, the Department Chairperson, and the College Personnel Committee of the nature of the recommendation.
5. 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).
6. 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.
7. 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 the standards in *The Redbook* in front of the University's Faculty Grievance Committee. This request must be delivered on or before the tenth day following the action being challenged.

C. Evaluation for Promotion: External Peer Evaluations

External evaluation of research is required for promotion of Probationary and Tenured faculty as provided in Section 3.5.A.1 and for Research Faculty as provided in Section 3.5.A.2. Similarly, external evaluation of teaching is required for promotion of Clinical Faculty as provided in Section 3.5.A.2.

D. 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 External Evaluation for Tenure and Promotion**

The quality of publications and other forms of scholarly dissemination or teaching proficiency is judged best by colleagues in the candidate's field or discipline. Reviews solicited from disciplinary peers are an important part of the evaluation of research and creativity or teaching proficiency. External evaluation for all tenure and promotion decisions will follow the procedures set forth below.

- A. The Department Personnel Committee will oversee the solicitation of external evaluations of the candidate's scholarship or teaching as required above in all cases involving tenure or promotion. The Department Personnel Committee will, in consultation with the Dean and Chairperson, begin the process of selecting evaluators and soliciting evaluations in a timely manner.
1. Selection Procedures for Probationary and 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, be from programs and/or institutions similar to the University, and be individuals who are likely to provide a fair and unbiased assessment of the candidate. 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 Department faculty members 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 proposed 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 University. The candidate has the right to challenge any external 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 has submitted a list.
  2. Selection Procedures for Clinical and Research Faculty: For clinical faculty, external evaluators 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, external evaluators 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. The candidate will present a list of five individuals outside their Department who can evaluate the teaching or research contributions of the candidate. 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, if she/he has submitted a list) to provide an evaluation of the candidate's contribution.
3. **Timing and Process for Obtaining External Evaluations:** Once external evaluators are identified, the Department Chairperson will solicit external reviews in writing. The Chairperson's solicitation letter should include a description of appropriate criteria for evaluation from the College's Personnel Policies and Procedures. The letter should also request a description of the reviewer's relationship to the candidate, request a detailed evaluation of the candidate's work based on materials provided, ask whether the evaluation may or may not be read by the candidate, and request a copy of the reviewer's vita. Each reviewer will be provided with the candidate's vita and pertinent scholarly materials, including but not limited to publications. The candidate will determine what materials will be provided to external reviewers, although the Department Personnel Committee or Chairperson may provide advice about the selection of materials. External evaluators will be given a reasonable time period in which to complete evaluations and should they be unable to do so will be replaced by another evaluator from the mutually agreeable list of potential external evaluators. Where less than four external reviews are received within a reasonable amount of time the Chairperson shall make reasonable efforts, in collaboration with the Department Personnel Committee, to obtain at least four reviews with at least half coming from reviewers recommended by the candidate.
- B. **Faculty Review and Rebuttal to External Evaluations:** The faculty member has the right to review and rebut comments made by the external reviewers; however, the identity of the external reviewers will not be revealed to the faculty member unless required by law. Responses are to be made in writing and added to the triptych before being sent for further review by the Department Chair or Department Personnel Committee. The candidate will be notified when the external reviews are received and will have 10 days in which to review the evaluation and supply any rebuttal. Modifications to the time frame can be considered if the candidate is out of town when the reviews arrive. Request for modification are to be made to the Dean in writing.

### **Sec. 3.6 Periodic Career Reviews**

- A. **Faculty Members with Tenure**
1. **Purpose.** Tenured faculty in the College shall undergo periodic career reviews to evaluate their continued scholarly and professional growth.
  2. **Procedures**
    - a. Unless otherwise specified below, all faculty members holding tenured appointments in the College shall undergo periodic career review during March and April after every fifth year of service as a tenured faculty member.
      - 1) When Deans, Associate Deans, 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.
      - 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.
      - 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.

- 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.
- 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.
  - c. The Dean's Office will provide to the College 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 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.
  - d. The College 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 Chairperson.
  - e. If the conclusion of the report is the faculty member's overall contribution has been *satisfactory* (met the minimum requirements of the College 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.
  - f. If the conclusion of the report is that the faculty member's contribution has been meritorious or above over the entire review period, this will be noted in the faculty member's files and will be considered if supplemental salary increase money is available. The Dean shall determine the amount of any such salary increase.
  - g. If the conclusion of the report is that the faculty member's contribution has been *unsatisfactory* (did not meet the minimum standards of the College), the report shall state the deficiency (ies) that was (were) the basis for the conclusion. Within 30 calendar days of receipt of the report, the faculty member, in consultation with his or her Department Chairperson, will prepare a Career Development Plan acceptable to the Dean to remedy the deficiency (ies) in one year, unless the Dean approves a longer period. If the faculty member and Chairperson are unable to agree upon a Career Development Plan, the Dean shall prepare a plan that is consistent with expectations of similarly situated faculty members within the College.
    - 1) If the faculty member completes the agreed-upon one-year Career Development Plan, the faculty member shall then have one more year to demonstrate satisfactory performance.
    - 2) The faculty member will then undergo a Career Review in the academic year following the one year given to demonstrate satisfactory performance.
    - 3) The focus of this Career Review will be on the faculty member's Career Development Plan.
    - 4) If the faculty member is evaluated as satisfactory, the next five-year review period begins on the following July 1.
    - 5) If the faculty member is again evaluated as unsatisfactory, the record of the periodic career review and the record of the Career Development Plan are submitted to the Dean for appropriate action.



- h. If the faculty member undergoing review is a Department Chairperson, the Career Development Plan is prepared with and agreed to by the Dean.
- i. All rights of due process and appeal found herein or in *The Redbook* shall obtain in all reviews of faculty.

**B. Clinical and Research Faculty—Periodic Career Reviews**

Clinical and Research faculty are to be reviewed annually and at the end of each contract term. 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. Periodic Career Review of Clinical and Research faculty shall be the contract renewal review (section 4.2.4.B. of *The Redbook*).

**Article 4.0 Conditions of Faculty Employment**

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

**A. Annual Work Plan**

1. Each faculty member will prepare and submit to his or her Chairperson a proposed Annual Work Plan no later than November 1. The Chairperson, working with the faculty member, will review and approve the Annual Work Plan and submit to the Dean for approval no later than December 1. Chairpersons and Associate/Assistant Deans will prepare and submit to the Dean a written Annual Work Plan no later than December 1.
2. The Annual Work Plan should include prioritized professional goals and objectives for the forthcoming year in the areas of Teaching, Service, Research and Creative Activity, and Administration (if applicable).
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 December 20. Any rationale provided by the Chair shall also be in writing to the Dean and the faculty member. The Dean will review the rationale(s), may meet with the faculty member and Chairperson, and will attempt to finalize an Annual Work Plan that is agreeable to the faculty member and Chairperson. If no agreement is reached prior to January 10, the Dean will determine the faculty member's final Annual Work Plan prior to January 15.
5. 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 January 15.
6. A copy of the next year's final 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.
7. The Annual Work Plan may be amended with the agreement of the faculty member and Chairperson or immediate supervisor. The amendment will be placed in the Dean's Office personnel files.

B. Basic Faculty Work Load Assignment

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. The basic faculty annual workload for probationary and tenured faculty members is 50% of effort devoted to teaching, 30% of effort devoted to research and creative activity, and 20% of effort devoted to service.
3. The basic faculty annual workload for clinical faculty members is 80% of effort devoted to teaching, and 20% of effort devoted to service.
4. The basic faculty annual workload for research faculty members is 80% of effort devoted to research and 20% of effort devoted to service; however, research faculty members' percent of effort devoted to research may not be less than 60%.

C. Flexible Faculty Work Load Assignment

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 and with the understanding that probationary faculty members must demonstrate broad proficiency in the three areas specified in 2.0 for tenure and promotion.
2. Each faculty member in collaboration with his or her Chairperson 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 development school liaison, directing independent studies or course by conference, serving as director or clinical training or other academic programs, directing field experiences, chairing or serving on dissertation and masters committees, team teaching, other forms of collaborative teaching, advising, working within schools, coordinating placement of teachers and interns, research projects (both individual and multidisciplinary), editing journals, leadership of national organizations, large service grants, and other activities consistent with and necessary for the College to achieve its mission.
3. An individual faculty member may negotiate course releases when he/she receives outside funding.
4. All faculty workload assignments must be approved by the Dean.

D. Faculty Work Load Assignments and Faculty Reviews

1. Load assignments of faculty members will be kept on file in the Department as documentation for reviews of promotion and tenure, as well as for all periodic reviews (see 6.0 below). Evaluations of faculty performance in the standard areas in 2.0 above, will be adjusted to suit the nature of a faculty member's workload assignments during the review period. That is, for example, if a faculty member negotiates an assignment that excludes responsibility for service during a calendar year, the Annual Review recommendation will also exclude consideration of service; or, if a faculty member negotiates a reduced assignment in any of the standard areas, the Annual Review recommendation will be adjusted accordingly.
2. Tenured faculty members may choose during their careers to emphasize one or another of the categories of faculty performance. Tenured faculty members may submit written proposals regarding such variable career emphasis to their Department Chairpersons.

Proposals should specify the standard areas to be emphasized, the standard area in which responsibility is to be diminished or excluded, and the time period during which the variable career plan will be in effect. When the Chairperson agrees to the proposal, it shall be reviewed by the Department Personnel Committee, and forwarded to the Dean for approval. It is important to understand that agreements reached under this provision do not supersede the criteria required for successful review and promotion to full professor. It must also be understood, however, that there may be some instances where, with the prior agreement of the Dean and Executive Vice President and Provost, and in ways consistent with *The Redbook*, activities such as administrative duties or other appropriate accomplishments may be considered more heavily as part of a faculty member's case for promotion. Any agreements reached under this provision shall be made with the full understanding of the faculty member of the potential implications for future review and promotion and all understandings should be documented in writing.

3. Other Duties - When duties other than those usually classified as teaching, research or creative activity, or service are assigned to a faculty member, such as academic administration, program coordination, or other administrative duties, the effective performance of these duties shall be evaluated as prescribed by the evaluation procedures of the University. Ideally such duties would be of a limited scope or duration so as not to impede the normal time for promotion for any probationary faculty member or tenured faculty member at the rank of Associate Professor. In assigning such duties to probationary faculty members and faculty members at the rank of Associate Professor, the impact of any such duties on the progress towards promotion and/or tenure should be given significant consideration. Evidence of effectiveness in performance of such duties may include, but is not limited to, materials and other evidence attesting to Department leadership: program coordinator, program review and/or accreditation documents, student learning outcome reports, student orientations, course sequence and schedules, part-time faculty recruitment, mentoring and supervision, student concern documentation, and other activities involving College/Department/program academic leadership.

#### **Sec. 4.2 Compensation**

The College follows the policies and procedures stated in *The Redbook* (see 4.3.2 and specifics below): "Each faculty member's base salary, exclusive of supplemental pay, once established for tenured faculty or during a contract period at the University of Louisville shall not be reduced except in a fiscal emergency or under the most extreme circumstances."

#### **Sec. 4.3 Work Outside the University**

The College follows the policies and procedures stated in *The Redbook* (see 4.3.3 and specifics below): "Full-time faculty of the University may carry out professional work outside the University, with or without pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of weeks of their employment in a given year, provided that such work is previously approved by the Dean as appropriate to the faculty member's expertise and the mission of the university and provided that such work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities at the University. As part of the documentation for annual review, full-time faculty shall submit a report of this professional work outside the University under the provisions of this section. If a unit has a Professional Practice Plan that has been reviewed by the faculty of the Unit and approved by the Board of Trustees, then the Professional Practice Plan supersedes this section."

#### **Sec. 4.4 Paid Tutoring**

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

#### **Sec. 4.5 Sabbatical Leave**

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

#### **Sec. 4.6 Leave of Absence Without Pay**

The College follows the policies and procedures stated in *The Redbook* (see 4.3.6 and specifics below): “A faculty member may request a leave of absence without pay at any time. The dean of the unit, the Executive Vice President and University Provost, and the President must approve such leaves. Disciplinary leaves of absence without pay may be imposed by deans with the approval of the Executive Vice President and University Provost and the President.”

#### **Sec. 4.7 Leave of Absence With Pay**

The College follows the policies and procedures stated in *The Redbook* (see 4.3.7 and specifics below): “A faculty member may request a leave of absence with pay at any time. The dean of the unit, the Executive Vice President and University Provost and the President must approve such leaves. Disciplinary leaves of absence with pay may be imposed by deans with the approval of the Executive Vice President and University Provost and the President.”

#### **Sec. 4.8 Retirement**

The College follows the policies and procedures stated in *The Redbook* (see 4.3.8 and specifics below): “The Board of Trustees shall make available a retirement annuity plan for full-time faculty members, after a stated minimum period of service in such capacity. Each retirement contract shall be vested in the individual participant. Faculty members will retire under the provisions and conditions set out in the retirement plan adopted by the Board of Trustees.”

#### **Article 5.0 Resolution of Disagreements**

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

#### **Article 6.0 Termination of Service**

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

#### **Article 7.0 Personnel Documents**

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

#### **Appendix 1: Grievance Procedures**

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

#### **Appendix 2: Termination Process**

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

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