

Information

Faculty Accountability

Effective

October 29 2021

Applicability

This policy applies to all faculty at the University of Louisville as defined in Redbook Article 4 1

Administrative Authority

Executive Vice President and University Provost

Responsible Unit

Executive Vice President and University Provost

Phone: 502-852-5726

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History

This policy was approved by the University of Louisville Board of Trustees on October 29, 2021. Revisions to this policy were approved by the University of Louisville Board of Trustees on June 26, 2025.

Revision Date(s): June 6, 2025

Reviewed Date(s): June 6, 2025.

Categories

Statement:

To promote a culture of mutual respect, accountability, and professionalism in our interactions, the University may discipline a faculty member whose conduct violates the University's standards of conduct, policies and procedures, or who violates federal, state, or local laws or standards of professional conduct to which the faculty member is subject. The University encourages a progressive discipline approach, which shall include a statement of areas of concern, action steps needed for

improvement and a timeline to review progress. Failure to demonstrate improvement may result in additional disciplinary action. Progressive discipline actions may include, but are not limited to, the following forms: (1) a verbal warning, (2) a written warning, (3) removal or reassignment of administrative or supervisory appointments, (4) restrictions on activities including university-related travel, (5) a leave of absence without pay, with prior approval of the President and Provost in accordance with Redbook 4.3.6, (6) payment of fines, penalties, or restitution, (7) a reduction in supplemental salary for a stated period, and/or (8) loss of research funds or of privileges. Following procedures described in the Redbook (Sections 4.36 and 4.3.7) the University may impose immediate discipline if the conduct of a faculty member warrants an immediate separation from campus activities. Progressive discipline actions may culminate in the initiation of termination proceedings in accordance with Redbook Article 4.5.

Disciplinary action must consider the severity and frequency of the misconduct, its impact on the institution, and the extent to which the conduct in question deviates from standards of conduct, policies and procedures, or expectations. It is expected that attempts at addressing inappropriate conduct will be undertaken before this policy is administered. However, in all instances, the University reserves the right to take appropriate actions that are commensurate with the nature of the misconduct and are consistent with the Redbook and other university policies and applicable laws.

Nothing in this policy shall impede a faculty member's academic freedom as articulated in the Redbook or free speech rights contained in the First Amendment. Nothing in this policy shall affect a faculty member's right to file a grievance at any time under provisions of the Redbook, nor does this policy affect termination of service described in the Redbook (Section 4.5.)

Remediation

Faculty behavior may warrant remedial action. For example, a faculty member may be required to complete University-mandated training.

Examples of Grounds for Discipline

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

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

retaliation; and including violations of the University's Code of Conduct, which states faculty should avoid all forms of harassment, illegal discrimination, threats, or violence;

- Violations of the University's policy on acceptable use of University resources, including inappropriate or unauthorized use of University property or resources;
- Failure to follow or willful disregard of approved University, college, school, division, or departmental policies and procedures;
- Dishonesty, including knowingly furnishing false, misleading, or incomplete information or reports to the University;
- Falsification of information on an employment application, on academic records, on a curriculum vitae, or in the conduct or reporting of research;
- Violations of the University's policy on fiscal misconduct;
- Violations of the University's policy statement as a drug-free institution;
- Conduct that severely disrupts the work environment;
- Violation of applicable federal, state or local laws in conducting the affairs of the University.

Faculty Dispute Resolution and Grievance

Faculty members retain the right to file a grievance at any time under the regular terms of the faculty dispute resolution and grievance policy and procedures and in accordance with the provisions in the Redbook, Article 4.4.

Confidentiality

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

Non-Retaliation

Consistent with the University's Non-Retaliation Policy, retaliatory actions are subject to disciplinary action up to termination.

Non-Discrimination

The University of Louisville is an Equal Employment Opportunity employer. The University strives to provide equal employment opportunity on the basis of merit and without unlawful discrimination on the basis of race, sex, age, color, national origin, ethnicity, creed, religion, disability, genetic information, sexual orientation, gender, gender identity or expression, veteran status, marital status, or pregnancy. In accordance with the Rehabilitation Act of 1973 and the Vietnam Era Veteran Readjustment Act of 1974, the University prohibits job discrimination of individuals with disabilities, Vietnam era veterans, qualified special disabled veterans, recently separated veterans, and other protected veterans. The University acknowledges its obligations to ensure affirmative steps are taken to ensure equal employment opportunities for all employees and applicants for employment. It is the policy of the

University that no employee or applicant for employment be subject to unlawful discrimination in terms of recruitment, hiring, promotion, contract, contract renewal, tenure, compensation, benefits, and/or working conditions. No employee or applicant for employment is required to endorse or condemn a specific ideology, political viewpoint, or social viewpoint to be eligible for hiring, contract renewal, tenure, or promotion.

For the University's notice on non-discrimination:

<https://louisville.edu/hr/employeerelations/eeo-affirmative-action>.

Related Information:

[PER 1.10 Reports of Bias, Discrimination, and Harassment Policy](#)

[University Employee Code of Conduct](#)

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

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

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

[Faculty dispute resolution and grievance](#)

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

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

Reasoning:

The University of Louisville (University) is committed to fostering a diverse and inclusive work environment that promotes a culture of mutual respect with integrity, transparency, and accountability. The University's Code of Conduct states core values shared by members of the University community, including honesty and rigor in all pursuits, respect for diversity and for all individuals regardless of position and professionalism in our interactions. The Code of Conduct and the Redbook cite ethical considerations expected of every employee in conducting the affairs of the University, including compliance with applicable federal, state, and local laws as well as the policies and procedures of the University. Therefore, faculty should adhere to these considerations.

This policy articulates expectations for faculty conduct and establishes a process to address instances in which faculty do not adhere to these expectations. Its primary goal is to establish a system of remediation and progressive discipline when faculty engage in misconduct. The policy facilitates open communication by giving the University and faculty a process to establish whether expectations were met and if not, to understand what actions were inconsistent with expectations and what actions should be taken to address the matter. Another goal is to provide a record of

the University's attempts to facilitate improved conduct. The policy also enables the University to enhance morale by showing to the faculty and other employees that misconduct will be addressed consistently and equitably.

Definitions:

Progressive discipline uses graduated steps for managing an employee's conduct that does not meet the University's expectations regarding standards of conduct or does not comply with policies and procedures or with applicable laws. It involves a clarification of performance or personal conduct expectations, followed by opportunities to demonstrate improvement regarding those expectations.

Responsibilities:

Faculty members are responsible for knowing and understanding this policy.

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

The Office of the Provost is responsible for interpretation of this policy and for educating faculty and their academic units and programs about this policy and its procedures. The Office of the Provost is also responsible for regular assessment of this policy in accordance with all applicable anti-discrimination policies and to revise it to correct identified issues.