

MINUTES OF THE SPECIAL MEETING OF THE
BOARD OF TRUSTEES OF THE
UNIVERSITY OF LOUISVILLE

October 6, 2022

In Open Session

Members of the University of Louisville Board of Trustees met virtually, on October 6, 2022, at 3:34 p.m., with members present and absent as follows:

Present: Ms. Mary Nixon, Chair
Mr. Jerry Abramson
Dr. Larry Benz
Mr. Scott Brinkman
Mr. Dorian Brown
Dr. Raymond Burse
Mr. Al Cornish
Ms. Diane Medley
Dr. Eugene Mueller
Ms. Diane Porter
Mr. James Rogers
Mr. John Smith
Ms. Sherrill Zimmerman

From the
University: Ms. Angela Curry, General Counsel and Vice President for Legal Affairs
Mr. Jake Beamer, Dir. of Governance & Strategic Initiatives & Asst. Secretary

I. Call to Order

Chair Nixon called the roll. Having determined a quorum present, she called the meeting to order at 3:34 p.m.

Conflict of Interest Affirmation

The Chair reminded all members of the board of their responsibility to avoid conflicts of interest and appearances of conflicts of interest. She stated each member has received the agenda and related information for this Board of Trustees' meeting.

Chair Nixon requested if any board member knows of any conflict of interest or appearance of conflict of interest with respect to any matter coming before the Board of Trustees at this meeting, to please identify the conflict or appearance of conflict at this time.

No conflicts were identified.

Consent Agenda

Chair Nixon read the consent agenda as follows:

- **Approval of Minutes, 7-14-2022**
- **Ratifications from the Executive & Compensation Committee, 9-23-2022**
 - **Creation of Public Health Training Graduate Certificate**
 - **Personnel Policies & Procedures for CEHD**
 - **Bylaws Revisions for CEHD**
 - **Personnel Policies & Procedures for A&S**
 - **Posthumous Degree Policy**
 - **Personnel Matters**
 - **Schneider Hall HVAC Replacement**
 - **Naming of Archives in Ekstrom Library**

Mr. Cornish made a motion, which Ms. Zimmerman seconded, to approve the consent agenda as listed.

The motion passed.

II. Action Item: Appointment to West End Opportunity Partnership Board

Chair Nixon explained that pursuant to KRS 65.503(1)(d), the Board of Trustees must appoint a UofL representative to the governing board of the West End Opportunity Partnership. Following a discussion with Interim President Gonzalez and her leadership team, Dr. Douglas Craddock, Interim Vice President for Community Engagement, was named the recommended appointee.

Mr. Brinkman made a motion, which Mr. Cornish seconded, to approve the

Chair's recommendation that the Board of Trustees appoint Dr. Douglas Craddock as the University of Louisville representative on the West End Opportunity Partnership Governing Board.

The motion passed.

III. Executive Session

Ms. Zimmerman made a motion, which Mr. Cornish seconded, to recess to executive session to discuss personnel matters, pursuant to KRS 61.810(1)(f).

The motion passed the open meeting recessed at 3:37 p.m.

Mr. Rogers departed the meeting at 4:01 p.m.

IV. Open Meeting Reconvenes

The open meeting reconvened at 4:24 p.m. and Chair Nixon reported that the board discussed personnel matters. No action was taken.

V. Adjournment

Having no other business to come before the board, Dr. Benz made a motion, which Mr. Cornish seconded, to adjourn.

The motion passed and the meeting adjourned at 4:24 p.m.

Approved by:


____ Signature on file _____
Assistant Secretary

MINUTES OF THE SPECIAL MEETING OF THE
BOARD OF TRUSTEES OF THE
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October 6, 2022

In Executive Session

Present: Ms. Mary Nixon, Chair
Mr. Jerry Abramson
Dr. Larry Benz
Mr. Scott Brinkman
Mr. Dorian Brown
Dr. Raymond Burse
Mr. Al Cornish
Ms. Diane Medley
Dr. Eugene Mueller
Ms. Diane Porter
Mr. James Rogers
Mr. John Smith
Ms. Sherrill Zimmerman

From the
University: Mr. Jake Beamer, Dir. of Governance & Strategic Initiatives & Asst. Secretary

I. Call to Order

Chair Nixon called the executive session to order at 3:37 p.m.

II. Personnel Matters

The board discussed personnel matters.

Mr. Rogers departed the session at 4:01 p.m.

III. Adjournment

Dr. Mueller made a motion, which Dr. Burse seconded, to adjourn the executive session.
The motion passed the session adjourned at 4:20 p.m.

Approved by _____

Signature on file
Assistant Secretary _____

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
GRADUATE CERTIFICATE IN PUBLIC HEALTH TRAINING

Academic & Student Affairs Committee – September 23, 2022
Executive & Compensation Committee – September 23, 2022

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Graduate Certificate in Public Health Training for implementation in Spring 2023.

BACKGROUND:

The Graduate Certificate in Public Health Training provides foundational public health knowledge to working professionals who may not be ready to fully commit to a traditional Master of Public Health (MPH) degree. This 12-credit certificate will help meet market demand for new public health-educated professionals seeking to work in health departments, non-governmental organizations, health insurance agencies, or other healthcare settings. The four courses will be offered online, two courses per semester, in a standard 14-week delivery.

The graduate Certificate in Public Health Training offers working professionals a flexible and convenient option for advancing their public health training. The certificate is affiliated with the MPH degree and consists of the four core courses that are required of all MPH graduates. Students will learn the foundational theories and methods of epidemiology, biostatistics, health behavior, and health policy. Students who complete the graduate Certificate in Public Health Training will be able to identify important public health issues, as well as strategies currently used to address those issues. These core courses cover a wide array of public health topics, theories, and methods, including a systems thinking model strategy to problem solving within the public health milieu. This method of problem solving is paramount given the broad scope of public health and the overarching goal to control and prevent disease and disability and to protect and promote population health through an understanding of multiple disciplines.

The Faculty Senate recommended the creation of the Graduate Certificate in Public Health Training at their meeting on July 6, 2022. The certificate is considered a short-term credential and approval of the proposal by the Kentucky Council on Postsecondary Education is not required. The Dean of the School of Public Health and Information Sciences and the Executive Vice President/University Provost join the President in making this recommendation.

COMMITTEE ACTION:

Passed X
Did Not Pass _____
Other _____

DS
Signature on file _____
Assistant Secretary

BOARD ACTION:

Passed X
Did Not Pass _____
Other _____

DS
Signature on file _____
Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE
PERSONNEL POLICIES & PROCEDURES OF THE
COLLEGE OF EDUCATION AND HUMAN DEVELOPMENT

Academic & Student Affairs Committee – September 23, 2022
Executive & Compensation Committee – September 23, 2022

RECOMMENDATION:

The President recommends that the Board of Trustees approve the revised personnel policies and procedures document for the College of Education and Human Development, as [attached](#) herein.

BACKGROUND:

There is only one suggested change which is summarized here:

Item 1: Criteria has been added for promotion of clinical faculty, from assistant to associate and associate to professor. (see page 4)

The revised document has been approved by the College of Education and Human Development faculty and the Faculty Senate.

The proposed changes were reviewed by the provost's office and General Counsel. The Interim University Provost joins the President in making this recommendation.

COMMITTEE ACTION:

Passed X

Did Not Pass _____

Other _____

ps
Signature on file _____
Assistant Secretary

BOARD ACTION:

Passed X

Did Not Pass _____

Other _____

ps
Signature on file _____
Assistant Secretary

**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).

Approved by the Faculty: 03-03-95
Amended by the Faculty: 08-24-95; 09-28-95; 02-26-02; 03-04-05; 04-29-05
Approved by Faculty Senate: 01-11-06
Approved by Board of Trustees: 04-18-06
Amended by the Faculty: 03-12-10, 09-17-10
Approved by Faculty Senate: 10-06-10
Approved by Board of Trustees: 10-14-10
Amended by the Faculty: 08-14-15
Approved by Faculty Senate: 07-06-16
Amended by the Faculty: 12-5-17
Approved by Faculty Senate Executive Committee: 02-21-18
Approved by Board of Trustees: 04-19-18
Amended by the Faculty: 04-22-21
Approved by Faculty Senate: 07-06-22
Approved by Board of Trustees: 10-28-22

BYLAWS of the College of Education and Human Development: Summary of Requested changes

1. **Restructure the composition of the personnel committee to include 2 at-large faculty members to avoid tie votes** (Bylaws Article VIII.A.2.b., [page 9](#)). When the Early Childhood Education department was eliminated in 2019, the composition of the Personnel Committee became: one representative from each department (5); two (2) clinical faculty members (one from teaching and learning departments and one from human development departments); and one at-large (1), for a total of eight members on the Personnel Committee. However, the two clinical faculty members cannot vote on pre-tenure review, tenure and/or promotion of probationary and tenured faculty, which leaves only six voting members for those types of review and could lead to tie votes. The addition of a second at-large member will alleviate this issue.
2. **Add a process for replacing members of CEHD Standing Committees between faculty meetings** [Bylaws Article VIII.B \(page 10\)](#). In the past two years there have been multiple elected members of the CEHD Standing Committees who have, for whatever reason, chosen not to serve on the committees to which they were elected, and other faculty representatives have had to step in mid-stream to take their place. Per the current Bylaws, all standing committee members must be elected by the faculty of the college as a whole and there was no mechanism in place for replacing members between faculty meetings.
3. **Correct department names** that were missed in December 2019 revisions on [pages 3 and pages 9](#) of the Bylaws.

ORGANIZATIONAL OUTLINE AND BYLAWS OF THE COLLEGE OF EDUCATION AND HUMAN DEVELOPMENT

ARTICLE I. PURPOSE

The purpose of these Bylaws is to establish the organization and legislative procedures of the faculty of the College of Education and Human Development (also referred to as the “College” herein) of the University of Louisville.¹

ARTICLE II. FACULTY MEMBERSHIP²

A. Tenured and Probationary Faculty

All persons holding tenured or probationary full-time faculty appointments as defined in Sections 4.1.1 of *The Redbook*, and whose primary academic appointment is in the College shall be voting members of the Faculty. Their appointment by the Board of Trustees shall constitute their appointment as voting members of the Faculty. Faculty members retain their voting rights as long as their primary academic appointment remains in the College. Voting members on leave shall not vote unless they inform the Office of the Dean in writing that they wish to vote during their leave. The Office of the Dean will provide a list of eligible voting members of the Faculty to the Committee on Committees at the beginning of the fall, spring and summer terms.

B. Clinical Faculty³

All persons holding non-tenurable full-time clinical faculty appointments (*The Redbook* Sec. 4.1.1.) shall be voting members of the Faculty, except that no voting rights regarding matters related to promotion and/or tenure of probationary faculty, or promotion of tenured faculty, may be extended to any person who does not meet the criteria set forth in Section A. All persons holding joint faculty appointments whose primary academic appointment is in another unit, and all persons whose appointment is funded at 50% or more by a research grant, service grant, or gift shall be non-voting members of the Faculty but may attend department and College Faculty Meetings.

Clinical faculty members may be appointed for a contract period not to exceed three (3) years. Such appointments are renewable, but non-tenurable. Their appointment by the Board of Trustees shall constitute their appointment as voting faculty members with the exception

¹ The Organizational Chart of the College of Education and Human Development can be found at the following link: <http://louisville.edu/about/CEHD-org-chart2019>.

² See *The Redbook* Section 3.3.

³ Includes those faculty members with the rank of Lecturers, Senior Lecturers, Distinguished Lecturers, Clinical Assistant Professors, Clinical Associate Professors, Clinical Professors, Assistant Research Professors, Associate Research Professors, and Research Professors. See Article 1.0 CEHD Personnel Policies and Procedures Document at <http://louisville.edu/provost/faculty-personnel/unit> for definitions and descriptions of responsibilities.

identified above related to tenure and promotion decisions of probationary and tenured faculty members.

C. Responsibilities

1. Legislative Powers

Except as otherwise provided by *The Redbook*, the Faculty shall have general legislative powers over all matters pertaining to admissions requirements, curricula, instruction, examination, personnel policies and procedures, collegiate structure, and recommendations for the granting of degrees through the President to the Board of Trustees. Consistent with Section 3.3.2 of *The Redbook*, all such actions shall be consistent with enumerated policies of the Board of Trustees. In particular, as stated in Section I.C of the *Minimum Guidelines for Faculty Personnel Review*, the Faculty shall develop a mission statement.⁴ It is understood that the Dean has the final approval of any mission statement developed by the Faculty.

2. Committees

The Faculty may establish as many committees as it deems necessary. Only those members of the Faculty (tenured, probationary, or clinical) having at least 50% of their assigned duties in the College shall be eligible to represent the College on any University or Administrative Committees. For any committee requiring departmental representation, only full-time faculty (tenured, probationary, and clinical) who have a primary appointment and at least 50% of their funding and assigned duties in the department are eligible to serve as a representative of that department on committees unless a different membership criterion is set forth in these Bylaws.

ARTICLE III. OFFICE OF THE DEAN

The Office of the Dean shall include the Dean and such Associate or Assistant Deans as may be appointed. The Dean shall be the administrative and academic leader of the College.⁵ The Dean's responsibilities, duties and actions shall be in keeping with the decisions, policies and regulations adopted by the Board of Trustees, Office of the President, Office of the Provost, and in collaboration with the Faculty of the College. Responsibilities and duties are further specified in a detailed job description which shall be approved by the President of the University and the Faculty of the College and which shall be attached to these Bylaws. Job descriptions of Associate and Assistant Deans shall be prepared by the Dean and be made available to the Faculty via the customary shared data storage system provided by the College. The Dean, Associate Deans, and Assistant Deans shall be reviewed in accordance with *The Redbook* and the *CEHD Personnel Policies and Procedures* where applicable.

⁴The Mission Statement of the College can be found at the following link: <http://louisville.edu/education/about>, and is attached hereto as Attachment "A."

⁵See *The Redbook*, Section 3.2.2. The job description for the Dean of the College is attached hereto as Attachment "B".

ARTICLE IV. FACULTY ADVISORY COUNCIL

A. Responsibilities & Purpose

The Faculty Advisory Council shall act as a representative body for the Faculty. As a representative body of the Faculty, the Faculty Council is the primary conduit of information flow by and between the Faculty regarding all matters that cut across departments and programs. Specific functions are included below.

B. Functions

1. To distribute memoranda to members of the Faculty and to encourage participation by the Faculty in the discussion of important matters affecting the College.
2. To represent the Faculty on all matters except those specifically assigned to other committees by the Bylaws of the College.
3. To present proposals and concerns to the Dean's Cabinet, Dean, or meetings of the Faculty.
4. To assist in the effective functioning of College committees including, but not limited to, making recommendations for the establishment and/or abolition of committees.
5. To review and advise the Dean concerning the organizational structure of the College.

C. Composition and Selection

1. Membership of the Faculty Advisory Council shall consist of one (1) faculty member representative of each academic department. All faculty members as defined in Article II (tenured, probationary, and clinical) are eligible to serve on the Faculty Advisory Council. Faculty members with administrative appointments as defined in Chapter 2 of *The Redbook*, or administrative duties accounting for 50% or more of their annual workload are ineligible to serve. Nomination and election of representatives of academic departments shall be by their constituent faculty members.
2. Members representing the Departments of Educational Leadership, Evaluation, & Organizational Development ([LEAD](#)); and Health & Sport Sciences ([HSS](#)) shall serve three-year terms starting on August 1st of an even numbered year. Members representing the Departments of [Elementary, Middle, & Secondary Teacher Education \(EMSTEd\)](#); Special Education, [Early Childhood, & Prevention Science \(SECP\)](#); and Counseling & Human Development ([ECPY](#)) shall serve three-year terms starting on August 1st of odd numbered years.
3. Members shall serve 3-year terms. To provide for continuity, the terms will be staggered so each year one third of the membership will expire. If any position becomes vacant, it shall be filled by nominations and election in accordance with Article IV, Section C.1 above.

D. Operations

1. Meetings of the Faculty Advisory Council shall be held at least once during each regular academic semester (fall/spring), and whenever a meeting is deemed necessary. Any

member of the Faculty Advisory Council may add items to the agenda. The agenda shall be perpetual, for example, items not acted on in one meeting shall be carried over to the next meeting. At the first meeting during the fall academic term, the members of the Faculty Advisory Council shall elect a Chair and a Vice-Chair from their membership. The Vice-Chair shall serve as a recording secretary and keep minutes of all meetings, but may be assisted in doing so by the staff person provided by the Office of the Dean as referenced in Section D.2 of this Article. The Vice-Chair shall also act as Chair at meetings in the absence of the Chair.

2. The Office of the Dean shall provide the Faculty Advisory Council with suitable electronic file storage options and the occasional services of a staff person to record, prepare, and distribute minutes of meetings, and maintain the files.

ARTICLE V. FACULTY MEETINGS

A. Time of Meetings

The Dean shall call at least one regular Faculty Meeting in each fall and spring academic semester. The Dean or Faculty Advisory Council may call additional meetings as needed to conduct the affairs of the Faculty. Upon petition to the Dean by at least 10 of the voting Faculty, a special Faculty Meeting must be called as soon as practicable by the Dean.

B. Presiding Officer

The Dean shall normally serve as Chair of all meetings. However, at the Dean's request or in the absence of the Dean another member of the Dean's Cabinet may preside at the meeting.

C. Agenda

The agenda for all Faculty Meetings shall be compiled and ordered by the Dean. The agenda may include items originating from the Dean, the Dean's Cabinet, the Faculty Advisory Council, the College's Faculty Senate representatives, the College's Staff Senate representatives, the College's Graduate Faculty Council representatives, the College's Student Government Association, or any member of the Faculty. The Office of the Dean shall distribute the agenda and supporting documentation to all faculty members at least one week in advance of any Faculty Meeting.

D. Minutes

The Office of the Dean shall provide sufficient staff to record and type the meeting minutes. Minutes shall be distributed with the agenda for the next meeting to all faculty members. Agendas and approved minutes shall be available on the College's shared data storage system accessible by the Faculty and Staff.

E. Faculty Meeting Parliamentarian

The Dean shall appoint a Parliamentarian at the beginning of the fall semester of each year. The principal duty is to advise the presiding officer of the Faculty Meetings, upon request, on matters of rules of order, the Bylaws, and other policies and procedures.

F. Quorum

Fifty percent (50%) of the entire eligible voting Faculty shall constitute a quorum.

G. Participation

All faculty members (tenured, probationary and clinical) as defined in Article II may participate in debate.

ARTICLE VI. DEAN'S CABINET

A. Responsibilities

The Dean's Cabinet shall serve as an advisory body to the Dean and the Faculty on administrative and academic matters.

B. Functions

The functions of the Dean's Cabinet are to offer advice and counsel to the Dean and/or the Faculty regarding courses of action on any matters affecting the business of the College. The Dean's Cabinet may refer detailed consideration of an issue to a committee of the College or the Faculty Advisory Council. The Faculty shall routinely be informed of actions taken and announcements made at meetings by means of the minutes, which will be available on the College's shared data storage system accessible by the Faculty and Staff. However, the person representing each constituent group of the College, as established in Section D of this Article, shall be responsible for rapid dissemination of information affecting that group.

C. Meetings

Meetings of the Dean's Cabinet shall be held at least twice each academic semester. Any member of the Dean's Cabinet may add items to the agenda. The agenda shall be perpetual, for example, items not acted on in one meeting shall be carried over to the next meeting. A preliminary agenda shall be distributed to all faculty members at least two (2) days prior to the meeting and made available on the College's shared data storage system accessible by the Faculty and Staff. All documentation in support of these agenda items shall be distributed to all members of the Dean's Cabinet at least two (2) days prior to the meeting to give them an opportunity to consult with their constituencies prior to the meeting. Items not on the circulated agenda described above may be acted on upon the consent of two-thirds of the members present at the meeting and any such items shall be permitted to be reconsidered at a future meeting by the request of any individual member of the Dean's Cabinet.

D. Structure

1. Voting members of the Dean's Cabinet shall consist of the Dean, Associate and Assistant Dean(s) as appointed by the Dean, all Department Chairs, Chair of the Faculty Advisory Council, and one staff member elected by the College's staff.

2. The Dean shall be the permanent Chair of the Dean's Cabinet. At the discretion of the Dean, however, another voting member of the Dean's Cabinet may be designated to preside.

3. A staff secretary shall be appointed from the Office of the Dean. The secretary will not hold membership on the Dean's Cabinet.

E. Advisory Subcommittees

The Dean may appoint ad hoc or standing advisory subcommittees for advice. The Dean or the Dean's designee shall serve as the Chair. The Dean or the Dean's designee will call meetings. A final written report of all issues related to the charge of the ad hoc committee will be made to the Dean's Cabinet.

ARTICLE VII. DEPARTMENTS, CENTERS, AND ACADEMIC SUPPORT GROUPS

A. Establishment and Elimination of Departments

Any recommendation from the Faculty to establish or eliminate a department requires a favorable vote of two-thirds of those voting but not less than a majority of the Faculty eligible to vote. A paper ballot shall be used. Established academic departments in the College are:

1. Counseling & Human Development;
2. Educational Leadership, Evaluation, & Organizational Development;
3. Health & Sport Sciences;
4. Elementary, Middle, & Secondary Teacher Education; and
5. Special Education, Early Childhood, & Prevention Science

B. Centers

Current centers in the College include the Nystrand Center of Excellence in Education, Center for Research in Mathematics and Science Teacher Development, Center for Economic Education, Early Childhood Research Center, Center for Instructional and Behavioral Research in Schools, and the Kentucky Autism Training Center.

C. Academic Support Groups

Current Academic Support Groups include the Office of Education Advising and Student Services, Education Resource and Technology Center, Office of Research and Graduate Studies, Office of Academic Affairs and Unit Effectiveness, and Office of Educator Development and Clinical Practice.

D. Chairs of Departments

Chairs are responsible for the educational and administrative oversight of their academic departments. These responsibilities are established in *The Redbook*, Section 3.3.5.C. Chairs for each department will be selected and evaluated in accordance with *The Redbook*, Section 3.3.5.B & D, and the *CEHD Personnel Policies and Procedures*. The Dean, when appointing Interim and Acting Chairs, will consult with the faculty members of the academic department.

E. Assistant Chairs of Departments

Assistant Chairs of academic departments shall be appointed by the Dean upon request and recommendation from the Department Chair and after consultation by the Department Chair with faculty members of the academic department. The specific duties and responsibilities of the Assistant Chair will be determined after discussion between the Assistant Chair, Department Chair, and Dean depending on the needs of the academic department. Common examples of these duties and responsibilities are overseeing and/or supporting course scheduling, student recruitment and admission, retention and evaluation of part-time faculty, academic program reporting for accountability and accreditation, student learning outcomes, academic dishonesty and communications of concern, expenditure and budgets, and administrative tasks as selected by the Department Chair. Assistant chairs will not participate in the formal evaluative component of the annual review process.

F. Departmental Faculty

A faculty member, as defined in Article II, may only have membership on the Faculty for a single academic department and this shall be known as the faculty member's primary academic appointment. The Faculty of a department shall consist of all persons whose primary academic appointment is within that department. Only faculty members with their primary academic appointment in a department may represent that department on College or department committees. A faculty member may have a secondary assignment in another department. A faculty member whose primary appointment involves a division of assignments may participate, but not vote, in the proceedings of another department in which the faculty member has a secondary assignment. Meetings of departmental faculty members shall be scheduled by the Chair upon his or her initiative or upon the request of a majority of the departmental faculty members. Agenda items may be proposed by the Chair or by any individual faculty member.

G. Academic Support Group Administrators

Each Academic Support Group shall have an administrator who shall be appointed by the Dean and approved by the Board of Trustees in accordance with *The Redbook*, Section 2.3.1.B. A job description for each such administrative position shall be developed by the Dean and be available on the College's shared data storage system accessible by the Faculty and Staff.

H. Center Directors

Each Center shall have an administrator who shall be appointed by the Dean and approved by the Board of Trustees in accordance with *The Redbook*, Section 2.3.1.B. A job description for each such administrative position shall be developed by the Dean and be available on the College's shared data storage system accessible by the Faculty and Staff.

I. Departmental Rules of Governance

The voting faculty members of each department shall collectively be its governing body. They may establish committees, or recommend other appropriate actions for advancing the business of the department under rules of governance, which must conform to *The Redbook*, the College's Bylaws, and be approved by the Dean.

ARTICLE VIII. COMMITTEES OF THE FACULTY

A. Bylaws Committees

The following committees of the College are required by these Bylaws:

1. Committee on Committees

a. Charge

The committee serves to consider and propose nominees for positions which are filled by faculty elections, to monitor the structure of the College's committees, and to conduct faculty elections. To pursue this purpose, this committee shall be charged with the following functions:

- i. To define vacancies on the Faculty Advisory Council and/or College committees as temporary or permanent.
- ii. To conduct elections, and to have jurisdiction in the case of disputed elections.
- iii. To be responsible for the creation of all slates for committee memberships and other offices filled by the faculty election of the College. This shall include the responsibility of ensuring that the opportunity for nominations to be elected to College-wide positions is provided at Faculty Meetings and that all faculty members are afforded the opportunity to nominate and elect from among the voting Faculty.
- iv. To assist departments in the selection of departmental representatives for College committees including the nomination and election from among the voting faculty members of the department.
- v. To review the charge, structure, and operations of the College committees every fifth year, in conjunction with the Bylaw review process of the Policy Review Committee.

b. Composition & Selection

The committee shall consist of one (1) faculty member from each academic department. Their respective departmental constituencies elect members. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Terms

Members shall serve three (3) year terms. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

2. Personnel Committee

a. Charge

The committee represents tenured, probationary, and clinical faculty members in advising the Dean regarding individual personnel actions including appointments, promotions, salary increases based on merit, tenure decisions, career reviews, appeals of annual reviews based on *The Redbook*, and personnel policies of the College. To ensure confidentiality of the committee's deliberations and written records regarding individual persons, these documents shall be stored and secured in the University's Interfolio/Faculty

180 system and shall not be stored on the College's shared data storage system accessible by the Faculty and Staff.

b. Composition & Selection

The committee shall consist of one (1) representative from each academic department elected by the department's constituent faculty members, and two (2) representatives elected by the Faculty at large, one (1) of whom will be an eligible faculty member in the teaching and learning departments (EMSTEd, SECP). In addition, two (2) clinical faculty members will be elected by the entire tenured, probationary, and clinical faculty members, one (1) of whom will be an eligible faculty member in the teaching and learning departments (EMSTEd, SECP), and one (1) of whom will be an eligible faculty member in the human development departments (ECPY, LEAD, and HSS). The clinical faculty members may participate in all committee deliberations other than those involving the pre-tenure review, and tenure and promotion of probationary and tenured faculty. Department chairs are ineligible to be committee members. All members of the committee must be at or above the rank of associate professor with tenure or in the case of the clinical faculty members, associate clinical professor. An alternate may be selected for any member of the committee during any year in which an elected member is also being considered for promotion or being reviewed (e.g., Periodic Career Review or Endowed Chair Review), or is otherwise unavailable (e.g., sabbatical or personal leave). The committee shall elect the Chair from among its members each year during the fall semester, at a meeting called by a member designated during the previous spring. The Dean or Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity upon request of the committee, but shall not be present during any committee deliberations concerning annual review appeals, pre-tenure review, promotion, tenure, or any other faculty personnel review.

c. Term

Members shall serve three (3) year terms. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire. Any member is eligible for re-election for one (1) consecutive term. Any member who has served two (2) consecutive terms must rotate off of the committee for at least one (1) year and then may be re-elected to the committee. The terms of new members shall begin on August 1.

3. Student Academic Grievance Committee

a. Charge

The committee will hear and make recommendations on student grievances concerning academic matters per *The Redbook*, Chapter 6, and the Student Academic Grievance Procedures adopted by the College. The committee shall organize its activities as needed to serve the interests of both undergraduate and graduate students. The committee shall make a written report to the Faculty of its activities annually, but will observe confidentiality when legally required. These annual reports should also be submitted to the Dean and the Chair of the Faculty Advisory Council before September 1 of each year.

b. Composition & Selection

The committee shall be comprised of one (1) representative from each academic department elected by the departmental faculty members, and three (3) student members, preferably appointed by the College's Student Government Association if possible. At least one (1) undergraduate and one (1) graduate student representative must comprise the student membership. One (1) of the faculty representatives should be elected as Chair each year during the fall term. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Terms

Faculty members shall serve three (3) year terms. Student members shall serve one (1) year terms. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire. The term of new members shall begin on August 1.

B. Standing Committees

The Faculty shall have the power to create or dissolve standing committees of the Faculty of the College. The standing committees of the College are currently Curriculum, Diversity, Honors and Scholarships, Planning and Budget, Policy Review, Research and Professional Development, Standards and Admissions, and Technology. The decision to create or dissolve a standing committee requires a favorable vote of two-thirds of the Faculty. Upon the request of a voting member of the Faculty, a paper ballot may be utilized. The charge, method of selecting members, and terms of office for each standing committee must be approved by the Faculty by majority vote. The Dean and the Faculty Advisory Council shall maintain a list of standing committees, their charges, methods of selecting members, and terms of office. Each committee is responsible for keeping and storing meeting minutes, and annually reviewing its charge and proposing changes, when needed, to the Policy Review Committee, Faculty Advisory Council, and/or the Committee on Committees. In the instance where an elected committee member can no longer serve, it is the responsibility of the home department to vote on a replacement and submit the nominee for a faculty-wide vote. The vote(s) can be conducted by an electronic survey.

C. Standing Committee Descriptions

1. Curriculum Committee

a. Charge

- (i). To coordinate departmental reviews of all existing courses, such reviews to be conducted every five (5) years for the purpose of determining the continued need, relevance, and quality of each course.
- (ii). To examine and take action for the Faculty on all proposed and revised courses, such examinations to include but not be limited to considerations of need, appropriate level, and potential duplication both within the College and in other units of the University.
- (iii). To ensure that existing and proposed courses and programs comply with University, state, and professional guidelines, and/or certification requirements.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty members and one (1) student representative elected by the College's Student Government Association. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Terms

Faculty members serve three (3) year terms, and student representatives serve a one (1) year term. If a student representative cannot attend, then the committee shall appoint a student designee. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

2. Diversity Committee

a. Charge

- (i) To work with the College's Director of Diversity and Inclusion to address faculty, staff, and student concerns and facilitate action on equity issues, e.g., recruitment and retention of diverse faculty, staff, and students.
- (ii). To facilitate the development of priorities and procedures regarding issues of diversity, e.g., curricular development and multicultural issues.
- (iii). To recommend allocation of funds to improve the College's instructional status regarding issues of diversity and inclusion.
- (iv). To encourage activities within the College that will lead to additional resources from the University related to issues of diversity and inclusion.
- (v). To facilitate the securing of resources from outside the University which will help address issues of diversity in teaching, research, and service.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty members, one (1) representative from the Multicultural Teacher Recruitment Program, two (2) elected staff members with one being from the Office of Education Advising and Student Services, and one (1) student representative elected by the College's Student Government Association. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Terms

Faculty and staff representatives serve three (3) year terms. The student representative shall serve a one (1) year term. If the student representative cannot attend, then the committee may

appoint a student designee. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

3. Honors, Awards, and Scholarships Committee

a. Charge

- (i). To assist students in securing needed financial aid and to act as a liaison with the University Director of Financial Aid.
- (ii). To secure money for the awarding of scholarships by preparing proposals for appropriate funding agencies, such as the WHAS Crusade Grants among others.
- (iii). To recommend and interpret the criteria for the designation of honors status in the College.
- (iv). To coordinate existing and new awards in the College, including assisting in pursuing University awards for College faculty staff, and students.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty members, and one (1) student representative to be selected by the College's Student Government Association. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Terms

Faculty members serve three (3) year terms, and the student representative serves a one (1) year term. If the student representative cannot attend, then the committee may appoint a student designee. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

4. Planning and Budget Committee

a. Charge

- (i). To represent the faculty and staff in advising the Dean regarding revisions to, the College's Strategic Plan.
- (ii). To represent the faculty and staff in advising the Dean about: (i) requests for new general funds; (ii) the development of the annual budget; (iii) the allocation of year-end funds; (iv) the development of plans to meet any extraordinary budget situations; and (v) provide the Faculty with an annual report.
- (iii). To assist the Dean in assuring that the faculty and staff have an understanding of, and opportunities for, active participation in the planning and budgeting process.
- (iv). Work in conjunction with the Curriculum Committee to review the budgetary implications and availability of resources for new academic program proposals.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty members and two (2) staff members elected by the College's Staff. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year. The Dean or Dean's designee may thereafter attend any meetings in an ex officio non-voting capacity depending on the needs of the committee.

c. Terms

All members serve three (3) year terms. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

5. Policy Review Committee

a. Charge

- (i). To review the College's Bylaws every five (5) years.
- (ii). To review the College's Personnel Policies and Procedures every five (5) years.
- (iii). To initiate any of the above reviews, or reviews of other college policies or procedures should the need arise or as directed by the Faculty Advisory Council, the Dean's Cabinet, or the Dean of the College.
- (iv). To update the College's Bylaws and Personnel Policies and Procedures as directed by amendments voted on by the Faculty at a Faculty Meeting; or as required due to changes in other University policies or *The Redbook*.
- (v). To ensure that the College's Bylaws and Personnel Policies and Procedures are consistent with *The Redbook*.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty members. Additional representatives may be invited to join the Committee as non-voting members. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Term

All members shall serve three (3) year terms. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

6. Research and Professional Development Committee

a. Charge

- (i). To administer the College's Research Fund.
- (ii). To encourage and support faculty research.
- (iii). To encourage and support student research.
- (iv). To encourage and support professional development.
- (v). To enhance the research climate in the College.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty and one (1) student representative selected by the College's Student Government Association. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Term

Faculty members shall serve three (3) year terms, and the student representative shall serve a one (1) year term. If the student representative cannot attend, then the committee may appoint a student designee. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

7. Standards and Admissions Committee

a. Charge

- (i). To recommend to the Faculty policies and procedures regarding admission to, and completion of, degree and professional certification programs and to implement them.
- (ii). To conduct periodic reviews of admissions and completion standards and recommend appropriate changes to the Faculty.
- (iii). To approve proposed changes to the admissions and completion standards of degree and professional certification programs.
- (iv). To consider and decide student petitions regarding admission to, and completion of, undergraduate and master's degree and professional certification programs. The committee has appellate jurisdiction to review procedural questions only regarding petitions arising from admissions decisions of departmental admissions committees.
- (v). To recommend to the Faculty policies and procedures for the grading system and appropriate changes.
- (vi). To conduct reviews of student records within the College for determining student status and change in student status.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty and one (1) student representative selected by the College's Student Government Association. At least half of the faculty representatives must have graduate faculty status. A quorum shall consist of half of the faculty representatives on the committee. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Term

Faculty members shall serve three (3) year terms, and the student representative shall serve a one (1) year term. If the student representative cannot attend, then the committee may appoint a student designee. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

8. Technology Committee

a. Charge

- (i). To create, develop, and maintain the College's vision for the effective use of technology in teaching, research, service, and administrative tasks.
- (ii). To represent the Faculty, Staff, and students in advising the Dean on technology policies, procedures, needs, and expenditures.

b. Composition and Selection

The committee shall consist of one (1) faculty representative from each department elected by the departmental faculty, one (1) representative from the Planetarium, one (1) staff representative, and one (1) student representative selected by the College's Student Government Association. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee. Representatives from the ERTC and the College's partners (e.g. IT, JCPS) may be invited to attend meetings.

c. Term

Faculty and staff members shall serve three (3) year terms. The student representative shall serve a one (1) year term. If the student representative cannot attend, then the committee may appoint a student designee. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

9. Committee on Committees

a. Charge

The committee serves to consider and propose nominees for positions which are filled by faculty elections, to monitor the structure of the College's committees, and to conduct faculty elections. To pursue this purpose, this committee shall be charged with the following functions:

- i. To define vacancies on the Faculty Advisory Council and/or College committees as temporary or permanent.
- ii. To conduct elections, and to have jurisdiction in the case of disputed elections.
- iii. To be responsible for the creation of all slates for committee memberships and other offices filled by the faculty election of the College. This shall include the responsibility of ensuring that the opportunity for nominations to be elected to College-wide positions is provided at Faculty Meetings and that all faculty

members are afforded the opportunity to nominate and elect from among the voting Faculty.

- iv. To assist departments in the selection of departmental representatives for College committees including the nomination and election from among the voting faculty members of the department.
- v. To review the charge, structure, and operations of the College committees every fifth year, in conjunction with the Bylaw review process of the Policy Review Committee.

b. Composition & Selection

The committee shall consist of one (1) faculty member from each academic department. Their respective departmental constituencies elect members. The Dean or the Dean's designee shall attend the first meeting of each academic year to discuss the committee's charge and tasks for the academic year, and to determine the role of the ex-officio member on the committee. The Dean or Dean's designee may thereafter attend any meetings in an ex-officio non-voting capacity depending on the needs of the committee.

c. Term

Members shall serve three (3) year terms. To provide continuity, the terms will be staggered so that each year the terms of about one-third of the members will expire.

D. Ad Hoc Committees

Upon the recommendation of the Dean, and the Faculty Advisory Council after consultation with the Dean, ad hoc committees may be appointed or elected to perform a particular task related to the objectives of the College. If the committee is to be elected, their constituent departmental faculty members shall elect department representatives. A majority of persons serving on an ad hoc committee shall be full-time faculty members.

ARTICLE IX. PARLIAMENTARY AUTHORITY

Faculty and Committee meetings shall be governed by the rules contained in the current edition of *Robert's Rules of Order* in all cases in which they are not inconsistent with the Bylaws.

ARTICLE X. THE STAFF OF THE COLLEGE

The Staff of the College shall be represented by the staff representatives who are elected to the University Staff Senate. The Staff representatives of the College shall conduct at least two (2) meetings of the Staff per academic year, communicate important information involving Staff with the Dean or the Dean's designee, and conduct all elections of Staff to any College committee. A staff representative shall be a member of the Dean's Cabinet with voting privileges.

ARTICLE XI. STUDENTS

The College's Student Government Association shall be the organization of the students of the College and shall operate under its own set of Bylaws.

ARTICLE XII. PROCEDURE FOR AMENDMENTS

The Policy Review Committee may recommend amendments to these Bylaws. In addition, any faculty member may propose an amendment to the Bylaws if endorsed by at least 10 of the Faculty. Proposed amendments from either the Policy Review Committee or faculty members will be placed on the agenda of the next Faculty Meeting for discussion. A copy of the proposed amendment and a copy of the current Article or Section to be amended shall be distributed to each faculty member at least one (1) week prior to the Faculty Meeting. Approval of the amendment may be made after discussion by a favorable vote of two-thirds of those voting. Upon request of any voting faculty member, a paper ballot may be utilized. Amendments receiving sufficient votes for approval will be forwarded through appropriate channels to the Board of Trustees for review and approval.

Approved by the CEHD Faculty, October 22, 2010.

Amended, approved by CEHD Faculty, April 11, 2011.

Approved by Faculty Senate, June 1, 2011.

Approved by the Board of Trustees, September 8, 2011.

Revised, approved by CEHD Faculty, May 30, 2012.

Approved by Faculty Senate, September 5, 2012.

Approved by the President, October 3, 2012.

Revised, approved by Faculty Senate Executive Committee, July 1, 2015.

Approved by the President, July 15, 2015.

Revised, approved by CEHD Faculty, August 15, 2019.

Approved by Faculty Senate, October 2, 2019.

Approved by the Board of Trustees, December 12, 2019.

Revised, approved by CEHD Faculty, April 22, 2021.

Approved by Faculty Senate, July 6, 2022.

Approved by the Board of Trustees, October 28, 2022.

ATTACHMENTS TO THE ORGANIZATIONAL OUTLINE AND BYLAWS OF THE COLLEGE OF EDUCATION AND HUMAN DEVELOPMENT

Index Attachments

- A) Mission Statement of the College of Education and Human Development
- B) Job Description for Dean.

Attachment A

Mission Statement of the College of Education and Human Development

The College of Education and Human Development embraces the university's mission as a metropolitan research university committed to advancing the intellectual, cultural, and economic development of our diverse communities and citizens. We promote the highest levels of learning and social, emotional, and physical health and well-being for all children, individuals, and families. Our programs enhance the organizations and communities in which our citizens grow and develop.

Our mission is to advance knowledge and understanding across our disciplines and constituencies and to develop educational leaders who will inform policy, improve practice, strengthen communities, and address pressing social concerns. We prepare students to be exemplary professional practitioners and scholars; to generate, use, and disseminate knowledge about teaching, learning, health promotion, disease prevention, and leadership in public and private sector organizations; and to collaborate with others to solve critical human problems in a diverse global community. We seek to continually improve the quality of life for all in our metropolitan community, the Commonwealth of Kentucky, and the nation.

Attachment B Job Description for the Dean of the College of Education and Human Development

Dean's Position Description

The Dean shall have primary responsibility for representing the views of the College Faculty to all groups and persons external to the College, particularly to the central administration of the University. The Dean shall be responsible for the administration and efficient conduct of the educational program of the College and for integrating the plans of the College with those of the University. The Dean shall enforce the policies and regulations adopted by the Board of Trustees, the Office of the President, the Faculty Senate, and the College Faculty. In addition, the Dean's efforts shall be guided by the specific responsibilities contained in the job description for the Dean of the College of Education and Human Development.

As chief academic officer of the College, the Dean is responsible for the academic, personnel, financial, and administrative affairs of the College. The Dean is also responsible for communicating the vision and goals of the College to community and professional constituencies and seeking public and private funds to support the goals of the College.

General Responsibilities of the Dean

The Dean of the College reports directly to the Provost and will:

- Lead the College in furthering the values, mission, and goals of the University and the College.
- Ensure the timely development and implementation of appropriate priorities and policies for the College, as well as strategic plans that are both visionary and pragmatic.
- Lead and strengthen the already dynamic partnerships with Jefferson County Public Schools, the surrounding Ohio Valley Education Cooperative, Northern Kentucky Cooperative, and other districts across the Commonwealth of Kentucky and State of Indiana.
- Sustain accreditations to ensure the College maintains quality programs consistent with other nationally prominent universities.
- Recruit, mentor, and retain exemplary faculty, staff and students with special emphasis on diversity and inclusion, and collaboration.
- Sustain a climate in which faculty members excel in scholarly research, teaching, service, and community outreach.
- Lead the development efforts of the College, including personal participation in the cultivation, solicitation, and stewardship of major donors, prospective donors, and alumni.
- Advocate for the College within local, state, and federal agencies and serve as a thought leader on issues of education in each of these settings.
- Work with the departments to ensure that every graduate of the College can meet the needs of his or her respective diverse work environments and that the College's graduates are considered to be among the most coveted teachers, administrators, and professionals.

- Work with all the University's centers, colleges and departments in pursuit of innovative solutions to complex problems.

The aforementioned duties shall be accomplished in accordance with the decisions, policies and procedures adopted by the Board of Trustees, the Office of the President and the Faculty of the College. Unless prohibited by *The Redbook* or the Bylaws of the College, the Dean may delegate the aforementioned duties to appropriate administrators.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE
PERSONNEL POLICY AND PROCEDURES DOCUMENT
OF THE COLLEGE OF ARTS & SCIENCES

Academic & Student Affairs Committee – September 23, 2022
Executive & Compensation Committee – September 23, 2022

RECOMMENDATION:

The President recommends that the Board of Trustees approve the revised Arts and Sciences Personnel Policy and Procedures Document, as [attached](#) herein.

BACKGROUND:

The suggested changes are minimal and are summarized here:

Item 1: Term faculty may be considered for promotion after 5 years in rank (as opposed to 6 years as required previously) (see page 4).

Item 2: In cases of promotion, individual departments may narrow voting eligibility rules by rank and/or tenure status. Additional clarification of the rules on voting eligibility are also included (see page 13).

The revised document has been approved by the Arts and Sciences Faculty Assembly and the Faculty Senate.


The proposed changes were reviewed by the Provost's office and General Counsel. The Interim University Provost joins the President in making this recommendation.

COMMITTEE ACTION:

Passed X

Did Not Pass _____

Other _____



Signature on file _____
Assistant Secretary

BOARD ACTION:

Passed X

Did Not Pass _____

Other _____


Signature on file _____
Assistant Secretary

Personnel Policy and Procedures

(Note: Throughout this document, "department" is used as a generic term to include division or program.)

Article 1 - Faculty Appointments and Tenure

Section 1.1 - Types of Appointments

- A. Any full-time faculty appointment shall be one of three kinds:
1. nontenurable (Section 1.2)
 2. probationary (Section 1.3)
 3. tenure (Section 1.4)
- B. Part-time appointments
1. Part-time faculty shall be those appointed by contract to teach specified courses or perform specific duties less than full time. The Dean may appoint or reappoint part-time faculty for each academic term at the convenience of the University on standard contract terms approved by the Executive Vice President and University Provost. No part-time appointment, continuation, or renewal thereof, regardless of assignment or seniority, shall result in acquisition of tenure or imply renewal for subsequent periods. Part-time faculty shall hold rank according to education and experience. Part-time faculty shall be reviewed in writing annually, and these evaluations will be maintained in the Dean's Office. Part-time faculty are not eligible for sabbaticals or other academic leaves. Part-time faculty may participate in university and unit governance as permitted by University and College Bylaws. Such service shall be accounted for and recognized in the individual contract.
 2. Ranks
 - a. In normal circumstances, persons appointed at the rank of Lecturer shall hold a graduate degree in the field in which they teach. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall, in any event, give promise of proficiency in teaching, or, if applicable, performing specific duties stipulated in their contract.
 - b. In normal circumstances, persons initially appointed at the rank of Senior Lecturer I shall hold the recognized terminal degree in the field in which they teach. Those holding the rank of Lecturer may be promoted to Senior Lecturer I on the basis of a record of proficient teaching, or, if applicable, service and / or research and creative activity in the College.

- c. Promotion to the rank of Senior Lecturer II recognizes exceptional performance in teaching or, if applicable, in service and / or research and creative activity.
3. Procedures for Evaluations for Promotion of Part-time Faculty
- a. Promotion may be considered after a part-time faculty member has held one rank for at least ten semesters in no fewer than five years in the College. (Summer teaching counts as one semester.) A part-time faculty member whose promotion is denied must wait at least four more semesters before requesting promotion again.
 - b. Part-time faculty initiate their promotion reviews by submitting to their department chair a promotion file that includes a curriculum vitae in standard College format, annual College merit evaluations, numerical teaching evaluations, peer reviews of teaching, and syllabi (if developed by the part-time faculty member); and, if applicable, promotion files may also include teaching awards, evidence of course or curriculum development and / or evidence of research and creative activity.
 - c. The promotion file is first reviewed by the department chair and then forwarded to the Dean for review. If the part-time faculty member responds to the chair's written evaluation, the response will also be forwarded to the Dean. The Dean will provide a written review of the evidence in the file. The part-time faculty member may appeal the decanal evaluation and recommendation. All evaluations and responses shall become a permanent part of the part-time faculty member's file.
 - d. The College of Arts and Sciences Personnel Committee will act as the College Committee on Appeals. Any part-time faculty member may request a review by the Arts and Sciences Personnel Committee of the Dean's decision on a promotion case. The result of that review will then be forwarded to the Dean as a recommendation.
 - e. The Dean of the College shall establish such guidelines and deadlines as shall be necessary to ensure uniformity, efficiency, and effectiveness in implementing the review and evaluation process. These guidelines, however, cannot create new policy but are restricted to administration of the current personnel policy. Such guidelines and any subsequent changes must be approved by the College of Arts and Sciences Personnel Committee.

C. Emeritus faculty

The honorary title of Emeritus faculty may be conferred upon retired faculty if requested by the department or unit faculty and the Dean, and if approved by the President and Board of Trustees. The University community can benefit greatly from Emeritus Faculty presence on campus and continued professional activities, including teaching, research, and service. Therefore, Emeritus Faculty should be provided library and email privileges and support facilities. They may also assist with undergraduate and graduate research projects and they may undertake primary supervision of new student research projects with the approval of the Dean.

D. Adjunct Faculty

Adjunct appointments are normally offered to persons who are not full-time faculty members of the College or Arts and Sciences but with whom the College or one of its departments wishes to establish a formal relationship. Adjunct faculty members are expected to have the same academic qualifications as member of the regular faculty, and they may hold rank from adjunct instructor to adjunct professor. Persons holding adjunct appointments may be chiefly employed by a school or university other than the University of Louisville, by the University of Louisville in a non-academic position, or by another organization. They are not normally compensated as adjunct faculty but may be compensated by contract for specific part-time services. Adjunct appointments are for terms of up to three years and they may be renewed.

Section 1.2 - Nontenurable Full-Time Appointments

A. Temporary Appointments

Temporary appointments to the various academic ranks are those made for less than one year or for special purposes. In no case shall temporary appointments or renewals result in the acquisition of tenure. Temporary faculty shall not be eligible for tenure or count toward time for acquisition of tenure, regardless of assignment or seniority. Temporary faculty are not eligible for sabbaticals or other academic leaves but will have access to the same grievance procedure as other full-time faculty. (See Redbook Appendix A)

B. Term Faculty Appointments

1. All nontenurable full-time faculty who do not hold temporary appointments will be called Term Faculty.
2. Term faculty shall be full-time faculty appointments without tenure for a stipulated contract period not to exceed three years. Such appointments are not probationary appointments and no such appointments, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent terms. Term faculty are not eligible for sabbaticals.
3. Term faculty may be funded through general funds, restricted funds, or clinical revenues. The number of term faculty appointments funded through general funds must be fewer than 20 percent of the total number of probationary and tenured appointments in the College.
4. Term faculty appointments may be renewed at the pleasure of the University if the Chair of the department and the Dean determine that the services of the incumbent are needed for the renewal term.

5. Faculty on term appointments may apply for and be appointed to probationary appointments.
6. Term faculty shall meet the minimal standards for probationary appointment at the designated rank, although specific variation in assignments may be designated in the contract and specified in the Annual Work Plan.
7. Participation in College Governance shall be specified in the College By-Laws.
8. Working with the department Chair, term faculty shall present an Annual Work Plan for the approval of the Dean. The work plan shall specify the responsibilities of the faculty member for teaching, research and creative activity, service, and other institutional obligations for the faculty member's presence on campus.
9. Annual review of term faculty shall be initiated by the designated departmental review committee and shall follow the process for annual review of probationary or tenured faculty. Assessment for annual review shall include teaching, research and creative activity, and service, but review shall consider only those areas assigned in the Annual Work Plan.
10. Term faculty whose annual reviews attest to their proficiency shall receive a salary increase as outlined in the Dean's Guidelines.
11. Promotion in rank may be considered after a term faculty member has served five years in rank. Procedures for the promotion of term faculty shall be the same as for probationary or tenured faculty (see sections 2.2 and 2.3). Criteria shall include proficiency in teaching, research and creative activity, and service, but only the areas included in the contract or in the Annual Work Plan will be assessed. A term faculty member who does not hold the terminal degree (Instructor) may be promoted to the rank of Senior Instructor I. Candidates who are eligible for further promotion in accordance with the College of Arts and Sciences policies (that is, after five years in this rank) may be promoted to the rank of Senior Instructor II. These ranks mirror those designated for term faculty members who possess the terminal degree (A) Instructor [Term]: Assistant Professor Term; B) Senior Instructor I: Associate Professor Term; and C) Senior Instructor II: Professor Term) but apply to term faculty members who do not possess the terminal degree or its equivalent.
12. Extramural review shall be required for promotion for those term faculty whose annual work plans include research and creative activity.
13. Term faculty will have access to the same grievance procedure as other full-time faculty. (See Redbook 4.4 Appendix A.)

Section 1.3 - Probationary Appointments

A. Definition

Probationary appointments shall be appointments of full-time faculty members without tenure other than those described in Section 1.2, provided, however, that no probationary appointment to the College shall extend beyond the period when tenure is normally granted (Section 2.2).

B. Instructors

Probationary appointments to the rank of instructor shall be made only under extraordinary circumstances. If such appointments are made, they will be for stipulated terms of one year each and the persons appointed as instructors shall have completed all work required for the award of the required terminal degree in their area of specialization, with the exception of the thesis or dissertation. They shall, in any event, give promise of proficiency in teaching, research and creative activity, and service.

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 for the initial appointment, nor three years for appointments made thereafter.

In normal circumstances, persons appointed as assistant professors shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall, in any event, give promise of proficiency in teaching, research and creative activity, and service.

In normal circumstances, persons appointed or promoted to the rank of associate professor shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall have shown evidence of having attained proficiency in teaching, research and creative activity, and service, and shall give promise of continuing performance at proficient levels in these areas. The evidence of both proficiency and continuing promise of proficiency in research and creative activity shall include extramural evaluation.

D. Professors

Professors shall be awarded tenure if employed subsequent to the initial probationary period. In normal circumstances, persons appointed or promoted to the rank of professor shall hold the recognized terminal degree in their field of specialization. In extraordinary situations, however, they may instead present evidence of having completed a body of research,

scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. They shall show evidence of having attained proficiency in teaching, research and creative activity, and service and of superior achievement and recognition in at least one area and shall give promise of continuing performance at or above such levels. Evaluation of scholarship shall include extramural evaluation.

Section 1.4 - Tenure Appointments

A. Definition

Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous full-time employment without reduction in academic rank until retirement or dismissal as provided in The Redbook. Tenure is granted in an academic unit in accordance with the procedures established in The Redbook.

B. Tenure Recommendations

Recommendations concerning the award or denial of tenure shall originate in the faculty of the College. In normal circumstances, tenure shall be recommended for persons promoted to the rank of associate professor or professor who already hold academic appointment in the College of Arts and Sciences. Tenure may be recommended for persons whose initial appointment in the College is at the rank of associate professor or professor. Persons recommended for tenure shall hold the recognized terminal degree in their field of specialization or shall present evidence of having completed a body of research, scholarship, or other creative activity equivalent in scope and quality to the similar component of such degree. Persons recommended for initial appointment as associate professor or professor shall meet the criteria stipulated for promotion to those ranks. Waivers or accords about credit toward tenure shall be stipulated in the letter of offer.

C. 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 Executive Vice President and University Provost and agreed to in writing by the nominee before the appointment is made by the Board of Trustees.

Article 2 - Faculty Personnel Reviews

Personnel reviews shall be based upon peer evaluation of a documentary record that includes qualitative and quantitative evidence of performance. Proficiency in the areas of teaching, research and creative activity, and service shall normally be required of all faculty members, unless responsibility for some area or areas is excepted in this document or specified in writing at the time of the initial appointment.

Section 2.1 - Annual Reviews

A. Areas of Activity

The personnel reviews of the College shall consider evidence in the areas of teaching, research and creative activity, and service. The reviews will reward performance in the short term and seek to reinforce desirable patterns of career advancement and to foster the development of excellence in the College of Arts and Sciences. Performance evaluations shall be based on merit, including contributions to the missions of the department, the College, and the University. Evaluations must consider those areas of activity for which the approved annual work plan indicates a faculty member's responsibility, and no faculty member may be penalized for non-performance in any area of activity for which the faculty member has no assigned responsibility. Faculty members may be rewarded for activities that are not represented on the Annual Work Plan.

B. Procedures

1. Every faculty member and instructor of record shall be reviewed annually.
2. The following policies apply to the review of full-time faculty.
 - a. The annual reviews shall become part of the record for all subsequent personnel reviews and the basis for salary increases. Annual reviews shall take into consideration achievement for the year under review and the two years preceding it. The reviews will be preserved in the Dean's Office and the individual faculty members will be responsible for maintaining the documentation supporting each annual review for all future reviews.
 - b. Each faculty member shall be given an opportunity to present documentation of performance and effort relative to the annual work plan during the review period. Probationary and tenured faculty are entitled, upon their request, to extramural review in annual review. The Dean's Office shall announce in its Annual Calendar of Deadlines the date by which such documentation must be received.
 - c. Annual review may take into account career patterns of accomplishments as reflected in the curriculum vitae and in any submitted statement of progress.
 - d. Each faculty member must submit to the department personnel committee a curriculum vitae, Annual Work Plans, and information relevant to quality of instruction for the review period, including copies of results of student evaluations for all courses taught at the University of Louisville during the review period. The department personnel committee shall submit a performance evaluation of each faculty member to the Chair, who shall submit a subsequent performance evaluation to the Dean. The Dean's performance evaluation is final, subject to appeal under 2.1.C.5.

3. Each part-time faculty member must provide materials to a designated department administrator who will submit a performance evaluation to the Dean. Copies of results of student evaluations for all courses taught at the University of Louisville during the review period must be submitted, along with other materials to be determined by the department. Each part-time faculty member will be provided the performance evaluation in writing and shall be given the opportunity to respond to the evaluation and to any recommendations for improvement. The reviews will be preserved in the Dean's Office.
4. Annual review of Graduate Teaching Assistants is the responsibility of the graduate program in which they are enrolled. Copies of results of student evaluations for all courses taught at the University of Louisville during the review period must be reviewed, along with other materials to be determined by the graduate program.
5. Each faculty member will be informed of the performance evaluation in writing at each step of the process and shall be given the opportunity to respond to the evaluation and to any recommendations for improvement or for salary increases so that timely adjustments may be made before the Dean's final recommendation.
6. Faculty who have administrative appointments shall be reviewed for their administrative services as well as for their other faculty responsibilities. Such reviews will be initiated by the department and will involve consultation with appropriate faculty and administrators. Each department shall develop specific policies for the evaluation of Chairs. These must include gathering specific assessments of the Chair's performance from individuals such as the Dean. The department Chair, together with the department personnel committee, will be responsible for identifying such individuals. The form of such reviews shall be established within the Dean's Guidelines. These evaluations must be incorporated into the annual review of that individual.
7. In cases where a faculty member has a joint appointment, the annual review will be conducted in accordance with procedures established in the Dean's Guidelines.
8. A minimum of three tenured faculty members will serve as the department personnel committee. No person may participate during deliberation of his or her own case. If it is impossible to form a qualified committee of three faculty members in a given department, that committee will be augmented. The chair of the personnel committee shall submit to the Dean a list of proposed members from the College and the Dean will make the selection. The reviewee has the right of peremptory challenge up to the number of three before such list is submitted to the Dean.
9. Department committees, Chairs or the Dean may request to see evidence of performance at any stage of the review process.

C. Distribution of Funds

1. Two percent (2 percent) of the annual-review money allocated to the College will be used to accommodate successful appeals. Any funds remaining from this 2 percent will be distributed to the departments as outlined in C.2.

2. The Dean will distribute the remaining annual-review money allocated to the College for full-time faculty as a uniform percentage of the year's base full-time faculty salary for each department, unless some alteration in that uniform percentage is warranted by changes in the department's relative level of performance. Any changes shall be made in consultation with the Personnel Committee and the Planning and Budget Committee.

The Dean shall report to the faculty and to the Executive Vice President and University Provost the frequency distribution of the percentage salary increases received by all faculty members and describe the evaluation procedure used to determine these increases. Recommendations for awards will be based on a system that defines overall performance as (1) not proficient, (2) proficient, (3) highly proficient, and (4) exceptional.

After distribution of annual-review funds to departments (as determined in C.2.), awards to individuals will be made according to the approved department policy. No department policy shall be implemented until approved by the College Personnel Committee and the Dean.

3. Each department shall recommend the reward associated with each category of performance in accordance with the system developed by that department. No reward shall be given for an overall performance of "not proficient." No department shall recommend annual awards that total more than the funds allocated to it under C.2.
4. A recommendation by the Dean for no salary increase must be submitted to the Executive Vice President and University Provost for approval, and must include reasons that performance is considered unsatisfactory, as well as specific suggestions for improving performance. In the case of appeals of recommendation for no salary increase, the entire review file shall also be forwarded to the Executive Vice President and University Provost.
5. The College Personnel Committee will act as the College Committee on Appeals. Any faculty member may request a review by the Personnel Committee of the Dean's decision on an annual review. The result of that review will then be forwarded to the Dean as a recommendation.
6. Each year, when funds are received by the College for pay raises for part-time faculty, these funds must be used for that purpose. The Dean may also designate funds under his or her discretion for that purpose.

Section 2.2 - Tenure

A. Time Required

See Redbook 4.2.2.A.

B. Leaves of Absence

See Redbook 4.2.2.B.

C. Extension of Probationary Period

See Redbook 4.2.2.C.

D. Prior Service

See Redbook 4.2.2.D.

E. Early Tenure

See Redbook 4.2.2.E.

F. Criteria for tenure

1. Areas of Activity

Evidence of broad-based, proficient performance in teaching, research and creative activity, and service shall be required to sustain recommendations for tenure.

All evaluations of personnel shall take into consideration a faculty member's annual work plans during the period of review. Whenever used in this document, the word "proficient" shall be understood to mean "having satisfied capably all the special demands or requirements of a particular situation, craft, or profession."

2. Teaching

Proficient teaching stimulates active learning and encourages students to be critical, creative thinkers. It is carefully planned and continuously examined. Regardless of its setting, proficient teaching uses faculty expertise to deepen the way students understand the subject matter. Student evaluations must be complemented by a recent peer review of teaching effectiveness and other relevant evidence. Examples of such evidence may include, but are not limited to, teaching awards, course syllabi and other instructional materials, and evidence of mentoring students.

3. Research and Creative Activity

Research and creative activity is the process of expanding scholarly or creative work in one's discipline. Proficient research and creative activity is innovative; it illuminates present experience and knowledge. Evidence of proficiency in research and creative activity includes articles, books, exhibitions, grants, performances, presentations at conferences, and reports. In cases where the AWP's require particular forms of activity, evidence of proficiency in such particular activities must be presented.

4. Service

Service includes those tasks that are required for the functioning of the department, college, university, community, or profession. Community work that does not draw upon one's professional expertise is not included. Evidence of proficiency in service includes letters of recognition, performance evaluations, and other documentation.

G. Pretenure review

Pretenure review is a procedure whose purpose is to determine whether or not a faculty member is making satisfactory progress toward achieving tenure. A positive pretenure review is not a promise of an eventual tenure grant.

A pretenure review will take place at the mid-point of a faculty member's probationary period. No later than August 1 of the academic year in which the review is to take place, the department Chair shall inform the faculty member, in writing, that the review is to take place. All such correspondence shall become a part of the faculty member's file. In the event that an individual's career pattern does not fit the normal progression (e.g., the case of an individual coming to the University with three or more years of credit toward tenure) that case shall be treated on its own merits, determining whether or not the hiring process constituted a pretenure review. Pretenure review shall be conducted by the department personnel committee, Chair, college personnel committee, and Dean.

The standard for a positive pretenure review shall be a determination that continuation of activity, as documented in the file, is expected to fulfill the stated tenure criteria for the department(s) involved. In the event that the department evaluation is negative, the written evaluation must include recommendations to the faculty member for changing the situation documented in the course of the review.

Pretenure review shall involve an examination of activity in the areas outlined in Section 2.2.F. Standards of judgment for the areas of activity shall be the same as those outlined in Section 2.2.F, and in department statements of criteria for tenure. For the purpose of pretenure review, extramural review is optional. This option may be exercised by either the faculty member or the department personnel committee.

The record compiled for pretenure review shall be maintained intact as part of the evidence to be considered in tenure review.

H. Evaluation for tenure

1. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied to tenure. Completion of the probationary period with positive annual performance evaluations and pretenure review shall not in and of itself constitute sufficient grounds for tenure.
2. Faculty members on probationary status shall be affected by any amendments to or changes in the criteria for tenure subsequent to their appointment. In such evaluations,

appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.

3. If the recommendation of the Executive Vice President and University Provost, the Dean, or the Chair of the department is negative, the faculty member must be notified by certified mail. The faculty member may request a hearing before the University Faculty Grievance Committee. Any such request must be delivered on or before the tenth working day following notification by certified mail.

I. Procedures for Reviews and Evaluations for Tenure and Promotion

1. Before any formal consideration or recommendation goes forward there must be consultation with the reviewee and with all bodies charged with the formal conduct of the review to that point.
2. Faculty members have the right to initiate their own reviews, except as that right is restricted by the Redbook.
3. When a Chair of a department is under review for tenure or promotion the relevant committee will include among its members one member of the faculty within the College but external to the home department of the person under review. The Dean shall appoint that member of the committee.
4. Chairs initiate reviews for promotion and tenure by letter of notice to relevant committees, the Dean, and the Arts and Sciences Personnel Committee. At every stage of the review the candidate will have the opportunity to review all materials in the record, except for the identities of extramural reviewers.
5. All evidence entered in review must be submitted to the Dean with the Chair's recommendation. It is essential that the report of the department personnel committee, including the department vote and any minority report, accompany the Chair's recommendation. Once initiated, a promotion review or review for early tenure may not be stopped, except with the permission of the reviewee. A promotion or tenure review file must be compiled with the assistance of the faculty member, and the faculty member is allowed to add newly available evidence for reconsideration by the previous evaluators before the file is advanced to the Office of the Executive Vice President and University Provost. The file shall be closed, and no further evidence may be added to it after the file has reached the Office of the Executive Vice President and University Provost.
6. Evaluation of research and creative activity requires extramural review. The Dean shall solicit extramural referees chosen from a list of professionally expert and objective evaluators compiled and agreed upon by the reviewee and the reviewee's Chair.
7. Letters soliciting extramural reviews shall follow models drafted by the College personnel committee.

8. At each level of review there must be a letter of recommendation which includes a written evaluation of all evidence regarding teaching, research and creative activity, and service. At each level the reviewee has the right to respond to the evaluation. All such responses shall become a permanent part of the file under review.
9. In tenure and promotion cases, after examination of the evidence, each tenure-track and tenured faculty member in a department shall have a single vote and the Chair shall report the vote numerically. Individual departments may narrow these voting eligibility rules by rank and/or tenure status. Any alteration must be approved by a two-thirds majority of the department's tenured and tenure-track faculty members and must be incorporated into ins personnel policy, which is then subject to approval by the College Personnel Committee and the Dean. A department that has made such a change may elect to return to the standard A&S voting rules on tenure and promotion (with all tenure-track and tenured faculty eligible to vote); such a change must be approved by a simple majority of the department's tenured and tenure-track faculty members and is subject to approval by the College Personnel Committee and the Dean.

An eligible faculty member may have to choose whether to vote as a personnel committee member, administrator, or as a member of the department at large. A faculty member on a joint appointment whose dual departments match those of a jointly appointed candidate for tenure and/or promotion may vote in only one of those departments.

Ordinarily, department votes shall be by written ballot not marked with name, rank, tenure status, or other identifying information. The ballots shall become a permanent part of the file under review. Departments may agree to gather votes electronically (as in other college elections) as long as the electronic instrument provides for confidential and recordable voting, with votes reported anonymously, unmarked by rank, tenure status, or other identifying information. The instrument must ensure that only those who are eligible may cast votes and that no one can vote more than once on a given case.

10. A minimum of three tenured faculty members will serve as the department personnel committee to review every personnel action for tenure or promotion. In departments that have narrowed voting eligibility in tenure and promotion cases, in any given year, the committee must include three faculty members eligible to vote on the cases under consideration. Any person scheduled for review for promotion or tenure may not serve on the department personnel committee during the academic year in which the review takes place. If it is impossible to form a qualified committee of three faculty members from a department, that committee will be augmented. The chair of the department personnel committee will submit to the Dean a list of proposed members from the College and the Dean will make the selection. The reviewee has the right of peremptory challenge up to the number of six before the list is submitted to the Dean.
11. Joint appointments include 1) official, Board of Trustees (BOT)-approved appointments specified in the original Letter of Offer, and 2) ad-hoc arrangements between two departments (sometimes referred to in individual departments as "affiliate faculty").

i. BOT approved joint appointments

If a faculty member has appointments in multiple departments within the College of Arts and Sciences by action of the BOT, each of those units will evaluate his or her tenure or promotion file bearing in mind the percentage of the faculty member's appointment in each department. The department of primary appointment will initiate the review process and oversee the creation of a review file, and the complete dossier of the candidate for tenure and/or promotion will be made available to all departments involved in the review. In each of the departments, a recommendation will be prepared by the personnel committee, a faculty vote will be conducted, and a chair's report will be prepared. The reviews can take place simultaneously and the reports from all departments will be inserted into the candidate's review file prior to sending it on to the Office of the Dean.

In cases where the secondary appointment is 25% or less, the candidate may elect an alternate procedure in which one member from the secondary department shall be appointed to the personnel committee of the primary department for review of the case. This additional member will be selected by the Dean of the College from a list submitted by the Chair of the second department after the reviewee exercises his or her right to peremptory challenges, the number of which shall not exceed 50 percent of the faculty of the second department. The additional member will serve only in the evaluation and recommendation of the reviewee covered by this provision to the policy. In addition, the Chair of the second department shall write a letter of recommendation based on the reviewee's participation in that department. This letter, along with relevant evidence (for example, student evaluations, extramural reviews, etc.), shall be placed in the personnel file prior to review of the case by the department Chair of the primary department.

In either scenario, once the review file reaches the Office of the Dean, the review will continue as in the case of a faculty member with an appointment in only a single department. If the reviewee has an appointment involving the College of Arts and Sciences and another academic unit within the University, the A&S department involved will conduct its review in accordance with the policy and guidelines for tenure and promotion reviews in the College and, to the extent possible, the College will cooperate with the other University unit involved to facilitate its review.

In all cases, the Chairs of the relevant departments will collaborate on the creation of the Annual Work Plan (AWP) from the time of the initial appointment so that the departmental expectations and the faculty member's responsibilities in each department are transparent and equitable, particularly in the area of Service.

i. Ad-hoc interdepartmental arrangements

A faculty member whose principal appointment is in one department but who contributes to the teaching, service, or research and creative activity of a second department on an ad-hoc (non-contractually obligated) basis is entitled, upon the faculty member's request, to be reviewed for personnel actions with the participation of the second department. Upon the faculty member's request, the review file will be made available to the chairperson of the second department, and the chairperson of the second department shall write a letter of recommendation based on the reviewee's participation in that department. This letter shall be placed in the personnel file prior to the review of the case by the chair of the department of principal appointment.

12. The Dean of the College shall establish such guidelines and deadlines as shall be necessary to ensure uniformity, efficiency, and effectiveness in implementing the review and evaluation process. These guidelines, however, cannot create new policy but are restricted to administration of the current personnel policy. Such guidelines and any subsequent changes must be approved by the College personnel committee.

Section 2.3 - Promotion in Rank

A. Criteria for Promotion from Associate Professor to Professor

1. The candidate for promotion shall present evidence of having attained proficiency in teaching, research and creative activity, and service, and of superior achievement and recognition in at least one area and shall give promise of continuing performance at or above such levels.
2. All evaluations for promotion in rank shall take into consideration a faculty member's annual work plans during the period of review. Evaluation of research and creative activity shall include extramural evaluation.
3. Whenever used in this document, the word "proficient" shall have the meaning specified in Section 2.2.F.
4. Whenever used in this document, "superior achievement and recognition" shall be understood to mean "having attained distinction, as recognized by one's peers, in a particular situation, craft, or profession."

B. Procedures for Reviews and Evaluations for Promotion in Rank

1. Each faculty member shall be reviewed for promotion in rank according to procedures specified in Section 2.2.I.

Section 2.4 - Periodic Career Review

The College assumes that faculty will ordinarily discharge their professional responsibilities by proficient performance in the areas of teaching, research and creative activity, and service and in accordance with their annual work plan (AWP). The periodic career review process examines evidence and reviews compiled over a five-year cycle.

A. Faculty with Tenure

Tenured faculty members shall undergo career review after every fifth year of service. When the review period ends in a sabbatical (or other leave), the periodic career review shall be deferred until the next academic year. A promotion shall replace a periodic career review.

Within thirty days of a periodic career review that identifies areas of deficiency, a faculty member, in consultation with the Chair or the Dean, shall prepare a career development plan, acceptable to the Dean, to remedy deficiencies within one year unless the Dean approves a

longer period.

B. Periodic Career Review: Stage 1

1. Each department personnel document will include a statement of expectations for "proficient performance" by tenured faculty. This statement will form the basis for periodic career reviews. Statements will be reviewed by the Dean to insure consistency with the mission of the College. After approval, each department will submit the statement to the Arts and Sciences Personnel Committee.
2. Annual reviews, the documentation supporting them, and a current curriculum vitae will be used as the evidentiary basis for periodic career reviews. The department Chair will review the five prior annual reviews. If a faculty member has four or five satisfactory reviews, the department Chair will forward a positive recommendation to the Dean of the College.
3. If a faculty member has more than one unsatisfactory review during the five-year period, the Chair will inform the department personnel committee so that the Chair and the department personnel committee can identify problems. If the department personnel committee and Chair do not think that mitigating circumstances account for the deficiencies, they will recommend a Stage 2 review. The recommendations of the department personnel committee and Chair will be forwarded along with the summary of the review period to the College Personnel Committee. The documentation supporting the recommendation, for instance, annual review letters and the evidentiary base from which they were written, will be made available to the College Personnel Committee if requested. The College Personnel Committee will review materials and other requested documentation and forward their recommendation to the Dean.

C. Periodic Career Review: Stage 2

1. Stage 2 review will focus on tenured faculty who were selected for review during Stage 1. In general, the purpose of this review is to provide useful feedback and appropriate intervention and assistance to faculty members who have not met expected performance criteria.
2. The department Chair will inform those subject to Stage 2 review. The faculty member will compile a triptych containing detailed information pertinent to the review. This information will in all cases include: (1) an up-to-date curriculum vitae, (2) annual reviews and annual work agreements for the past five years; (3) Stage 1 documentation and recommendations. Other evidence may also be included by the faculty member or may be requested by any of the reviewing bodies. If requested by the faculty member or the department Chair, any materials may be sent out for extramural review, following all procedures in the Arts and Sciences Personnel Policy and the Dean's Guidelines.
3. The department personnel committee will review all documentation and reviews and make a recommendation to the department Chair. The department review must reflect the nature of the individual's field of work and must conform to fair and reasonable standards for performance. Also, in all cases, the College Personnel Committee should

- be provided with copies of department expectations for proficient performance.
4. The department review should identify strengths and weaknesses of the faculty member and define specific goals or outcomes that would help the faculty member improve. The faculty member then can review and rebut this recommendation. All documentation is then forwarded to the Chair. The Chair will respond in writing to the documentation provided by the department committee, and with the faculty member develop a specific plan to overcome deficiencies. This plan will specify expected outcomes and outline the activities that will be taken to correct deficiencies.
 5. All documentation will be forwarded to the Arts and Sciences Personnel Committee for review, and its recommendation that the plan be accepted, modified, or rejected will be sent to the Dean. The Dean will make the final decision regarding the plan. The evaluation process, including the approval of the plan by the Dean, shall be completed in thirty calendar days following identification of the deficiency.
 6. The faculty member will be given one year to satisfy the requirements of the plan, unless the Dean approves a longer period. If the faculty member completes the professional development plan, the faculty member shall then have one year to demonstrate satisfactory performance. The Dean shall institute another career review. A faculty member whose performance is judged unsatisfactory in this second review shall be subject to appropriate disciplinary action, which may include proceedings for termination.
 7. A faculty member can appeal this process, following all procedures outlined in The Redbook, Arts and Sciences Personnel Policy, and the Dean's Guidelines.

Article 3 - Conditions of Faculty Employment

Section 3.1 - Annual Work Plan and Presence at the University

- A. Before the opening of each academic year, each full-time faculty member of the College shall sign an Annual Work Plan which describes the distribution of effort planned for the academic year. This policy also applies to faculty on sabbatical leave. Annual Work Plans shall be initiated by the department where the faculty member holds primary appointment. In the case of joint appointments, the respective department Chairs will cooperate in the process. These agreements shall be negotiated between the faculty member and the department Chair(s). The agreements shall be subject to review and approval by the Dean. Disagreements between a faculty member and the Chair as to the proper allocation of effort shall be referred to the Dean for resolution. When circumstances require changes in the work plan, the faculty member and Chair shall file an amended plan, including an explanation of the changes, for the Dean's approval.

The Annual Work Plan provides the basis for evaluation of performance.

Annual Work Plans must be consistent with the missions and program needs of the College and the home department(s). Each full-time faculty member must account for 100 percent of his or her full workload. Normally, the allocation of effort is based on some combination of

teaching, research and creative activity, and service. Justification for allocations of effort shall include the listing of courses taught, committee assignments and professional projects. The distribution of effort shall be expressed on the Annual Work Plan in terms of percent of effort allocated to each activity. Normally, a three-credit hour course requires at least ten percent of annual effort' this standard shall be the basis for the allocation of effort for all activities. Probationary faculty are required to demonstrate broad proficiency in scholarship; thus, a minimum allocation of thirty percent is required in research and creative activity. All approved annual work plans shall respect both the individual faculty member's need to shape his or her own career and the College's various needs and shall accordingly permit the faculty member to perform various functions at different stages of his or her career.

Service, especially service on campus, is the duty of every faculty member. Participation in department meetings and college assemblies is assumed. Under normal circumstances, faculty are also expected to serve on department, college, and university committees.

B. Presence at the University

Although professional activities will require their absence from campus, College faculty are expected to be routinely available on campus to meet with their colleagues and their students. Faculty shall make themselves available to students by observing posted office hours, and by allowing students to arrange appointments at other mutually convenient times (See Code of Faculty Responsibilities, 2.25). The Dean may require college faculty to report two weeks before Fall classes begin and continue in actual attendance until two weeks after the end of the final examination period in the Spring except when an approved AWP provides otherwise.

Section 3.2 - Compensation

The standard faculty appointment is for ten months, hereinafter called the Academic Year. Faculty on ten-month appointments have the option of receiving their salaries in ten (10) equal installments (B-10: August through May), or twelve (12) equal installments (B12: July through June), each fiscal year. The standard administrative appointment is for twelve months (A12).

Section 3.3 - Work Outside the University

See Redbook Article 4.3.3.

Section 3.4 - Paid Tutoring

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 he or she may exercise authority.

Section 3.5 - Sabbatical Leave

Sabbatical leaves will be subject to the provisions of the Redbook.

Article 4 - Resolution of Disagreements

See Redbook Article 4.4.

Article 5 - Termination of Service

See Redbook Article 4.5.

Article 6 - Personnel Documents

Criteria in department personnel policy statements shall be consistent with the College personnel policy. Departments that wish to specify additional requirements must receive approval from the College Personnel Committee and the Dean, but those requirements cannot contradict College policy.

Approved by Arts and Sciences Faculty Assembly: November 5, 1985

Approved by Board of Trustees: November 25, 1985

Approved by Arts and Sciences Faculty Assembly: July 1, 1990

Approved by Arts and Sciences Faculty Assembly, April 18, 1996

Approved by Faculty Senate: May 1, 1996

Approved by Board of Trustees: May 20, 1996

Approved by Arts and Sciences Faculty Assembly: March 18, 2002

Approved by Faculty Senate: April 9, 2002

Approved by Board of Trustees: April 22, 2002

Approved by Arts and Sciences Faculty Assembly: February 13, 2004

Approved by Board of Trustees: April 8, 2004

Approved by Arts and Sciences Faculty Assembly: April 18, 2008

Approved by Board of Trustees: November 13, 2008

Approved by Arts and Sciences Faculty Assembly: October 24, 2014

Approved by Faculty Senate: September 2, 2015

Approved by Board of Trustees: January 14, 2016

Approved by Arts and Sciences Faculty Assembly: November 20, 2020

Approved by Faculty Senate: January 13, 2021

Approved by Board of Trustees: April 22, 2021

Approved by Arts and Sciences Faculty Assembly: November 19, 2021

Approved by Faculty Senate: March 2, 2022

Approved by Board of Trustees: October 28, 2022

RECOMMENDATION TO BOARD OF TRUSTEES
Academic and Student Affairs Committee – September 23, 2022
Board of Trustees – October 28, 2022

The President recommends that the following personnel recommendations be approved by the Board of Trustees.

Law

Timothy Hall, JD, Professor (Tenured) of Law; additional appointment as the Boehl Chair in Health Law, November 1, 2022 through October 31, 2027.

Notable Accomplishments:

Professor Hall has taught several courses that fall under the Health Law umbrella, including Mental Health Law, Insurance Law, Bioethics and the Law, Health Reform, and Introduction to Health Law. His teaching evaluations shared with our subcommittee evince his strong capabilities in his curricular coverage within the Health Law discipline. With respect to his scholarship, Professor Hall has written broadly on Health Law-related topics, such as the threats to the physician-patient relationship in modern payment practices. These works have been cited by courts and the Restatement of Torts, among other prominent sources and in addition to citations from scholars in books and articles. He has extensive service to the profession, including service as the Chair of the AALS' Mental Disability Law Section.

Selection Process:

Search committee recommendation to Dean Jacobs.

Salary Data:

Current base salary: \$ 136,769

Total compensation: \$ 136,769

Incumbent base salary: \$ 198,128

Incumbent total: \$ 198,128

Proposed base salary: \$ 136,769

Proposed supplement: \$ 20,000

Proposed supplement: \$ 5,000

Proposed total: \$ 161,769

Budget impact: \$ 36,359 (savings)

Median benchmark comparison: \$ 206,735

Benchmark position title: Professor

Benchmark source: Oklahoma State University Salary Survey

Year of benchmark data: 2021-2022

Benchmark data number of incumbents: Unknown

Benchmark data number of institutions: 52

Lisa Nicholson, JD, Professor (Tenured) of Law; additional appointment as the William Marshall Bullitt Chair in Business Law, November 1, 2022 through October 31, 2027.

Notable Accomplishments:

Professor Nicholson’s combination of uniformly excellent and inspiring teaching, impeccable service to the community, the law school, and the legal profession, and her thoughtful and important scholarship make her an outstanding choice to hold the Chair. As a classroom teacher and mentor, Professor Nicholson has produced an outstanding record, as shown by her recognition in 2015 for Exemplary Multicultural Teaching. The wide range of letters from former students speak volumes about how their post-law school careers have benefitted from her challenging and innovative classroom approach. The high expectations she sets for both herself and her students have resulted in uniformly outstanding student evaluations of Professor Nicholson’s teaching. She contributes substantial service, as amply demonstrated by her receipt of the University’s Distinguished Service Award in 2021. Her service has been rendered both on-campus and off, including rendering her expertise and efforts to Kentuckians for the Commonwealth, the Legal Aid Society, the Louisville Metro Housing Authority, and more. She has been on the law school’s Diversity Committee, as well as the Admissions Committee. Finally, Professor Nicholson has produced important scholarship in areas that are at the heart of the business law realm, including critical issues of corporate governance and responsibility.

Selection Process:

Selection committee recommendation to Dean Jacobs

Salary Data:

Current base salary: \$ 138,025

Total compensation: \$ 138,025

Proposed base salary: \$ 138,025

Proposed supplement: \$ 20,000

Proposed supplement: \$ 5,000

Proposed total: \$ 163,025

Budget impact: \$ 25,000

Median benchmark comparison: \$ 206,735

Benchmark position title: Professor

Benchmark source: Oklahoma State University Faculty Salary Survey

Year of benchmark data: 2021-2022

Benchmark data number of incumbents: Unknown

Benchmark data number of institutions: 52

Medicine

Bahaaldin Alsoufi, MD, Professor (Tenured) of Cardiovascular and Thoracic Surgery; additional appointment as the Erle Austin III, MD, Endowed Chair in Pediatric Cardiac Surgery, November 1, 2022 through October 31, 2025.

Notable Accomplishments:

Dr. Alsoufi is a tenured Professor in the Department of Cardiovascular and Thoracic Surgery and the Division Chief of pediatric cardiac surgery at the University of Louisville. He is also the Director of the Heart Institute, the Chief of pediatric cardiac surgery, and the Director of Heart Transplantation at Norton Children’s Hospital.

Selection Process:

Nominated by Dr. Mark Slaughter, Department Chair

Salary Data:

Current base salary: \$226,955
Supplement: \$453,910
Total compensation: \$680,865

Proposed base salary: \$226,955
Proposed supplement: \$428,910
Proposed supplement: \$ 25,000
Proposed total: \$680,865

Budget impact: No change

Median benchmark comparison: \$878,017
Benchmark position title: Chief of Cardiothoracic Surgery
Benchmark source: AAMC
Year of benchmark data: 2020-2021
Benchmark data number of incumbents: 38
Benchmark data number of institutions: 151

Jeffrey Callen, MD, Professor (Tenured) of Medicine; additional appointment as the Lafayette G. Owen, MD Endowed Chair of Dermatology, November 1, 2022 through October 31, 2027.

Notable Accomplishments:

After completing a residency in Internal Medicine in 1975 and a fellowship in Dermatology in 1977, both at the University of Michigan, Dr. Callen joined the University of Louisville faculty as an Assistant Clinical Professor, Division of Dermatology in 1977. He was promoted to Associate Clinical Professor in 1981 and to Associate Professor in 1984. He subsequently was promoted to Professor, awarded tenure and named Chief of the Division of Dermatology in 1988. Dr. Callen has organized the Visiting Professor Program for the Dermatology Division since 1977, providing numerous visiting dermatology residents to rotate with him on a regular basis. Dr. Callen's excellence and contributions as a teacher and mentor have been recognized by a number of teaching awards and other top distinctions, such as being awarded the Dermatology Foundation Lifetime Career Educator award in 2018. Throughout his career, Dr. Callen has published widely, including 153 review articles, 92 original investigations, 198 case reports, 58 editorials, 16 books, 7 book reviews and 316 book chapters.

Selection Process:

Selected by Division Chief and Department Chair.

Salary Data:

Current base salary: \$40,514
Total compensation: \$40,514

Proposed base salary: \$40,514
Proposed total salary: \$40,514

Budget Impact: No change

Median benchmark comparison: \$355,043.00
Benchmark position title: Dermatology- Med – Chief - M.D.
Benchmark source: AAMC
Year of benchmark data: 2020-21
Benchmark data number of incumbents: 11
Benchmark data number of institutions: N/A

Nursing

Mary DeLetter, PhD, Professor (Probationary) and Interim Dean of Nursing; award of tenure, November 1, 2022.

Notable Accomplishments:

Dr. DeLetter holds a PhD in Nursing from the University of Kentucky. She joined the School of Nursing in January 2017 at the rank of Associate Professor. In Fall 2017, she was appointed as the Director of the RN-BSN Program. In Spring 2018, she assumed responsibility for the university’s Wellness Coaching Minor, and in 2019, she was appointed to the position of Associate Dean for Academic Affairs and Unit Effectiveness. During her time at UofL, Dr. DeLetter has taught courses in the undergraduate, RN-BSN, and DNP programs. During the pandemic, she significantly revised multiple courses and taught courses in in-person, hybrid, and fully online formats. Dr. DeLetter co-developed a fully online Global Public Health course to meet the general education (Cardinal Core) social/behavioral and global diversity requirements at the university level, as well as the RN-BSN curriculum requirement. Dr. DeLetter is an Ex Officio member of five standing School of Nursing committees and a member of nine University committees. She contributed to the writing of *Pivot to Fall*, the provost’s COVID-related planning document detailing the return to campus in Fall 2020. She holds leadership roles in several professional organizations, including Health Care Consortium of Greater Louisville and the UofL Health Nurse Residency Program Advisory Board.

Salary Data:

Current base salary: \$124,867
Current supplement: \$ 90,000
Current total: \$214,867

Proposed base salary: \$124,867
Proposed supplement: \$ 90,000
Proposed total: \$214,867

Budget impact: No change

Median benchmark comparison: \$278,200 (4th Quartile, Public Institutions by Enrollment)
Benchmark position title: Dean, Nursing
Benchmark source: CUPA HR Administrators in Higher Education Annual Report
Year of benchmark data: 2021
Benchmark data number of incumbents: 151
Benchmark data number of institutions: 146

COMMITTEE ACTION:

Passed X
Did Not Pass _____
Other _____


Signature on file _____
Assistant Secretary

BOARD ACTION:

Passed X
Did Not Pass _____
Other _____


Signature on file _____
Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
OF THE UNIVERSITY OF LOUISVILLE CONCERNING THE
PHOTO ARCHIVES IN EKSTROM LIBRARY

Executive and Compensation Committee – September 23, 2022

RECOMMENDATION:

The President recommends the Board of Trustees approve the creation of the Courier Journal Photo Archives in Ekstrom Library, and further recommends the board approve the naming of the archives as “The Barry Bingham Jr. Courier-Journal Photo Collection” in recognition of a \$2,000,000 gift by the Bingham family.

BACKGROUND:

The gift establishes the Barry Bingham Jr. Courier-Journal Photo Collection Endowment. The fund will be held in perpetuity in support of the significant Louisville Courier-Journal photo collection acquired from Gannett Co. that will be held within the University of Louisville’s Archives and Special Collections. The naming honors the memory of the donors’ father, Barry Bingham Jr.

BOARD ACTION:

Passed X

Did Not Pass

Other

 Signature on file
Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
OF THE UNIVERSITY OF LOUISVILLE CONCERNING THE
UNIVERSITY'S BOARD SEAT ON THE
WEST END OPPORTUNITY PARTNERSHIP GOVERNING BOARD

Board of Trustees – October 6, 2022

RECOMMENDATION:

The Chair recommends that the Board of Trustees appoint Dr. Douglas Craddock as the University of Louisville representative on the West End Opportunity Partnership Governing Board.

BACKGROUND:

[KRS 65.503\(1\)\(d\)](#) requires the Board of Trustees to appoint a representative from UofL to the governing board of the West End Opportunity Partnership.

BOARD ACTION:

Passed X

Did Not Pass

Other

 D Signature on file
Assistant Secretary