

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

April 22, 2021

In Open Session

Members of the University of Louisville Board of Trustees met at the Student Activities Center Ballrooms, Belknap Campus, both in-person and virtually at 1:39 p.m. on April 22, 2021, with members present and absent as follows:

Present: Ms. Mary Nixon, Chair
Mr. Scott Brinkman
Dr. Raymond Burse
Mr. John Chilton
Ms. Sabrina Collins
Ms. Diane Medley
Ms. Diane Porter
Mr. James Rogers
Dr. David Schultz
Mr. John Smith
Ms. Sherrill Zimmerman

Absent: Mr. Matthew Barzun
Mr. Al Cornish

From the
University: Dr. Neeli Bendapudi, President
Dr. Lori Gonzalez, Executive Vice President and University Provost
Dr. Kevin Gardner, Executive Vice President for Research & Innovation
Mr. Dan Durbin, Vice President for Finance and CFO
Ms. Angela Curry, General Counsel and Vice President for Legal Affairs
Dr. Michael Wade Smith, Vice President for External Affairs and Chief of Staff
Dr. Jasmine Farrier, Vice President for University Advancement
Mr. Vince Tyra, Vice President for Athletics and Athletic Director
Dr. Toni Ganzel, Vice President for Academic Medical Affairs
Ms. Mary Elizabeth Miles, Vice President for Human Resources
Dr. Ralph Fitzpatrick, Vice President for Community Engagement
Mr. Rehan Khan, Vice President for Information Technology Services
Dr. Michael Mardis, Vice President for Student Affairs and Dean of Students
Mr. Mark Watkins, Sr. Associate Vice President for Operations
Ms. Sandy Russell, Assistant Vice President for Enterprise Risk and Compliance
Ms. Shannon Rickett, Assistant Vice President for Government Relations
Dr. Faye Jones, Senior Associate Vice President for Diversity and Equity
Dr. Beth Boehm, Dean of the Graduate School

Dr. David Jenkins, Dean of Kent School of Social Work
Mr. Thomas Hoy, University Counsel
Mr. Walter Newell, Treasurer/Controller
Ms. Jessica Murnock, Executive Officer to the President
Prof. Wei Zhang, Chair of Dept. of Computer Engineering & Computer Science
Prof. Bibhuti Sar, Director of Doctoral Program, Kent School of Social Work
Prof. Richard J. Lamont, Chair, Oral Immunology, and Infectious Diseases
Prof. Richard Germain, Challenge for Excellence Chair, Supply Chain Mgmt.
Prof. Sean Beirne, Director of Equine Industry Program
Prof. Jason Gainous, Professor, Dept. of Political Science
Dr. Charlie Leonard, Interim Dir., National & Int'l. Scholarship Opportunities
Ms. Lexi Raikes, Student
Mr. Jake Beamer, Dir. of Governance & Strategic Initiatives & Asst. Secretary

From UofL

Health: Mr. Tom Miller, CEO

From the UofL

Foundation: Mr. Keith Sherman, Executive Director

I. Call to Order

Chair Nixon called the roll. Having determined a quorum present, she called the meeting to order at 1:39 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.

Welcome New Trustees

Chair Nixon welcomed the newest trustees appointed by Governor Beshear, Mr. Barzun (absent) and Ms. Zimmerman.

Ms. Zimmerman introduced herself and stated she was excited to join the board and looks forward to serving her alma mater.

Recognize Former Trustees

The Chair then recognized former trustees Bufford and Frazier for their service on the board. Their terms expired January 13, 2021.

Recognize Beth Boehm and Tom Hoy

President Bendapudi recognized and thanked Dr. Boehm and Mr. Hoy for their service as Executive Vice President and University Provost, and General Counsel, respectively. The president noted that Dr. Boehm would return to her post as Dean of the Graduate School, and Mr. Hoy would continue to be a member of the University Counsel's office.

Welcome Lori Gonzalez and Angela Curry

The President then welcomed the new Executive Vice President and University Provost, Dr. Gonzalez, and the new General Counsel and Vice President for Legal Affairs, Ms. Curry. Both administrators thanked the president and the trustees for the opportunity to serve the University of Louisville.

Recognize Lexie Raikes

Chair Nixon recognized Ms. Raikes as Kentucky's only Harry S. Truman Scholarship recipient for 2021. The award, valued at \$30,000, is given to just 62 U.S. college students annually. It is the premier graduate scholarship for aspiring public service leaders in the United States.

Ms. Raikes thanked the chair for her invitation to the meeting. She plans to use the scholarship toward her goal of attending Georgetown University to earn a law degree and a Master of Science in Georgetown's Addiction Policy and Practice program.

Consent Agenda

Chair Nixon presented the consent agenda as follows:

- **Approval of Minutes, January 21, 2021**
- **From the Academic & Student Affairs Committee, 3-18-2021**
 - **Certificate in Horseracing Industry Business**
 - **Bachelor of Arts in Computer Science**
 - **Doctorate of Social Work**
 - **Center for Microbiomics, Inflammation and Pathogenicity**
 - **University Libraries Personnel Document**
 - **College of Arts & Sciences Personnel Document**
 - **Personnel Matters**
- **From the Finance Committee, 3-18-2021**
 - **Renovation to School of Nursing Bldg.**
 - **Renovations to School of Medicine Bldg.**

- **Six-Year Capital Plan**
- **Purchase of Research Admin. System**
- **Approval of Exception for Estate Gift**
- **Approval of President's Organizational Chart**
- **Approval of May Degree Candidates**

Mr. Brinkman made a motion, which Mr. Chilton seconded, to approve the consent agenda as listed.

The motion passed.

II. Action Item: Approval of 2021 Trustees Award

Dr. Burse announced that the recipient of the 2021 Trustees Award is Dr. Jason Gainous, Chair of the Department of Political Science. He noted that Dr. Gainous is the most prolific and consistently productive scholar in the Political Science Department having published two books since arriving at UofL, and over 45-peer reviewed articles, book chapters, and other publications garnering over 1,600 citations.

Dr. Gainous's leadership across three types of political science internship programs have led to the placement of over 500 undergraduate and graduate student interns to Frankfort each legislative session - more than all other Kentucky schools combined. He has worked tirelessly to establish the connections that the department, and university, now benefit from in Kentucky's state government.

Dr. Burse made a motion, which Ms. Collins seconded, to approve the

Academic and Student Affairs Committee's recommendation that the Board of Trustees approve Dr. Jason Gainous as the 2021 Trustees Award recipient.

The motion passed.

Dr. Gainous thanked the board for their award and stated he could not be more honored to be this year's recipient. He received a round of applause from trustees.

III. Action Item: Approval of Amendment to Retirement Plan

Vice President Miles briefed the board on a recommendation to amend the retirement plan to prevent employees who no longer meet the definition of Eligible Employee, but who remain employed with the University shall again become eligible to receive University Contributions under the Plan effective beginning the first day of the first pay period coinciding with the date such employee again becomes an Eligible Employee, without first having to complete a new Eligibility Period.

Mr. Smith made a motion, which Ms. Collins seconded, to approve the

President's recommendation that the Board of Trustees approve an amendment to the university's 403(b) retirement plan, as described in the attached resolution.

The motion passed.

IV. Report of the President

President Bendapudi explained that her report consists of updates from members of her leadership team: Dr. Jones, Dr. Fitzpatrick, and Mr. Durbin.

Cardinal Anti-Racism Agenda Update

Dr. Bendapudi introduced Dr. Jones who, using the **attached** presentation, provided the trustees with an update on next steps and metrics to measure the success of the Cardinal-Anti-Racism Agenda.

Dr. Jones explained the rationale and the timelines of the work being made on the anti-racism agenda, identified priority areas, and discussed anticipated metrics.

Drs. Bendapudi and Jones then fielded questions from trustees.

Chair Nixon thanked Dr. Jones and the president for the update, noting that additional board-level discussions regarding this important issue are forthcoming.

Financial Budget Update

Mr. Durbin provided a financial and budget preparation update to the board using the **attached** presentation. He then fielded questions from the trustees.

Chair Nixon thanked Mr. Durbin, his team, and Finance Committee Chair Diane Medley for their leadership in creating a positive outlook regarding the university's financial health.

Community Engagement Update

The President noted that a Community Engagement update would be provided to the board at a later date, and instead took the opportunity to recognize the 46-year career of Dr. Fitzpatrick, who is retiring in May.

Dr. Fitzpatrick reflected on his service to the university noting that he has worked in positions with the Athletics Department, Enrollment, Minority Affairs, Community Engagement, and as an assistant to the president after having graduated from UofL with two undergraduate degrees in 1974 and a master's degree in 1975.

He expressed his optimism that the university, under President Bendapudi's leadership will continue to support first-generation African American students and faculty. Dr. Fitzpatrick received a round of applause.

Dr. Bendapudi concluded her report by highlighting:

- UofL is the first university in Kentucky to provide all students access to the Adobe Creative Cloud, part of UofL's partnership with Adobe;
- \$1.7 million gift from Toyota to UofL and UK to diversify the Commonwealth's engineering pipeline;
- Pilot program being led by faculty in the School of Public Health and Information Sciences to assess the viability of diverting a portion of 9-1-1 calls from law enforcement to ancillary services, in the wake of racial civil unrest and calls for social justice;
- COVID-19 vaccination encouragement and the fact that UofL's Cardinal Stadium will be the largest vaccination site in the state;
- UofL's Army ROTC Cadet Ranger Challenge Team for ranking #4 in the nation; and
- promotions within her leadership team: Dr. Michael Wade Smith as Vice President for External Affairs and Chief of Staff; Dr. Michael Mardis as Vice President for Student Affairs and Dean of Students, Mr. Rehan Khan as Vice President for Information Technology Services, and Mr. Durbin as Executive Vice President for Finance and Administration.

Chair Nixon thanked the president and team for their reports. She also thanked the support staff for successfully holding the board's first hybrid in-person/virtual meeting since the COVID-19 pandemic began.

V. Report of the Chair

The chair again thanked Dr. Fitzpatrick for his service to UofL, and reminded her fellow trustees that the university is resuming in-person commencement exercises on May 7 through May 9 with outdoor events at Cardinal Stadium that celebrate both 2021 and 2020 graduates.

The Board of Trustees budget workshop is scheduled for May 27, Committee meetings are scheduled for June 24, and the board's annual meeting is scheduled for July 15 and will include an orientation session for new and current board members.

VI. Executive Session

Mr. Chilton made a motion, which Ms. Collins seconded, to recess to executive session to discuss specific business proposals and personnel matters, pursuant to KRS 61.810(1)(c) and (g).

The motion passed and the open meeting recessed at 3:10 p.m.

VII. Open Meeting Reconvenes

The open meeting reconvened at 5:27 p.m. Chair Nixon reported that the board discussed specific business proposals and personnel matters.

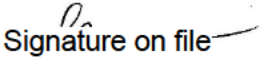
No actions were taken.

VIII. Adjournment

Having no other business to come before the board, Prof. Schultz made a motion, which Mr. Smith seconded, to adjourn.

The motion passed and the meeting adjourned at 5:31 p.m.

Approved by:


Signature on file
Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
BACHELOR OF ARTS IN COMPUTER SCIENCE

Academic and Student Affairs Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Bachelor of Arts in Computer Science effective fall 2021.

BACKGROUND:

The Dean of the J.B. Speed School of Engineering recommends the creation of the Bachelor of Arts in Computer Science degree program.

The Bachelor of Arts in Computer Science is a 120-credit-hour degree program developed in response to the existing need for technical jobs throughout the local industry in Louisville and Kentucky. The structure of the program offers students a chance not only to become well-equipped computer scientists but to also excel in other areas of studies that will match the students' interests. It will fulfill the demand in careers that rely on computer science and a broad knowledge in application areas. The program is designed to be eight semesters long with two internships in between. The credit hours of the program cover the required thirty-one hours in general education requirements, a minimum of fifty-six hours in the field of computer science, and the additional minimum of thirty-six hours in other areas of study. Allowing students to choose other areas of study that are not necessarily tied to the sciences or engineering will make this degree attractive to students with leanings towards the liberal arts who also have the desire to work in a technically savvy industry. This degree should attract students directly from high school, as well as existing graduates with skills in other disciplines who are seeking to re-tool their knowledge and seek a future in a technical career. The program is also designed to leverage the expertise and infrastructure in existence in the Department of Computer Science and Engineering (CSE). This program will not be ABET accredited.

The Faculty Senate recommended the creation of the Bachelor of Arts in Computer Science at their meeting on February 3, 2021. The Executive Vice President/University Provost joins 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 CREATION OF THE
CERTIFICATE IN HORSERACING INDUSTRY BUSINESS

Academic and Student Affairs Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Certificate in Horseracing Industry Business effective fall 2021.

BACKGROUND:

The Dean of the College of Business (COB) recommends the creation of the Certificate in Horseracing Industry Business.

The Horseracing Industry Business Certificate program has been designed to align with the needs of the horseracing industry. The certificate program will be taught online by a combination of College of Business and affiliated faculty and industry experts (called Corporate Fellows). The certificate will require students to complete nine credit hours of graduate course work.

The horseracing industry has a robust presence in the city of Louisville and the surrounding area and in the Commonwealth of Kentucky, with racing companies such as Churchill Downs, Keeneland, Kentucky Downs, Ellis Park, and Turfway Park, as well as other important stakeholders including auction companies, horse farms, training centers, industry-related associations, and stallion stations. By aligning our certificate program with the needs of major horseracing organizations, it will enable us to develop a mutually beneficial talent pipeline that serves our business community and our students. Horseracing companies in the Commonwealth of Kentucky (and beyond) will get well-prepared graduates who have a solid understanding of the horseracing industry and are ready to be successful in careers in business operations. In turn, our graduates gain broad-based knowledge about business operations within the horseracing industry, which makes them highly competitive for jobs and will ultimately accelerate their career success.

The Faculty Senate recommended the creation of the Certificate in Horseracing Industry Business at their meeting on February 3, 2021. The certificate is considered a short-term credential and approval of the proposal by the Kentucky Council on Postsecondary Education is not required. The Executive Vice President/University Provost joins the President in making this recommendation.

COMMITTEE ACTION:

Passed X

Did Not Pass _____

Other _____

 Pa
Signature on file _____

Assistant Secretary

BOARD ACTION:

Passed X

Did Not Pass _____

Other _____

 Pa
Signature on file _____

Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
DOCTORATE OF SOCIAL WORK

Academic and Student Affairs Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Doctorate of Social Work effective Fall 2021.

BACKGROUND:

The Dean of the Kent School of Social Work recommends the creation of the Doctorate of Social Work degree program.

The purpose of the Doctorate in Social Work (DSW) program within the Kent School of Social Work is to offer advanced education, training, and mentoring to master's level social workers who wish to become teaching faculty in departments/schools of social work or leaders heading up public or private social service organizations.


The DSW will be a 40-credit-hour, fully online program that can be completed in three years (including continuous enrollment during the summer). The program is designed with the working professional in mind. That is, the DSW is designed for currently employed master's level social workers for whom it is not feasible or desirable to stop working to pursue doctoral education. Without this degree, this individual may struggle with advancing into leadership and college/university teaching positions that may not be an option without formal advanced academic training, credentialing, and mentorship.

The DSW will appeal particularly to social workers who currently teach as adjuncts in social work programs but wish to be employed in full-time teaching positions. Since our experience at the Kent School is that between 50 to 70 percent of adjuncts teaching hold a master's degree, social workers with a DSW will appeal to programs looking to hire faculty who have advanced training in teaching,

The Faculty Senate recommended the creation of the Doctorate of Social Work degree program at their meeting on February 3, 2021. The Executive Vice President/University Provost joins the President in making this recommendation.

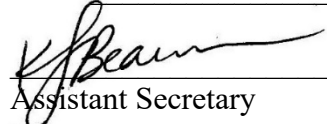
COMMITTEE ACTION:

Passed X
Did Not Pass _____
Other _____


Assistant Secretary

BOARD ACTION:

Passed X
Did Not Pass _____
Other _____


Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
CENTER FOR MICROBIOMICS, INFLAMMATION AND PATHOGENICITY

Academic and Student Affairs Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Center for Microbiomics, Inflammation and Pathogenicity.

BACKGROUND:

The purpose for the proposed Center for Microbiomics, Inflammation and Pathogenicity (CMIP) is to facilitate advances in the study of the etiology, pathogenesis and treatment of microbiome-related diseases. An emerging common theme in many diseases, particularly those with an inflammatory component, is the involvement of a microbiome component in the inflammatory process. The microbiota coevolved with the host to help maintain health, and consequently a dysbiotic microbiota can lead to long-term changes in host responses that ultimately form the basis for many diseases. A dramatic illustration of this is provided by recent evidence showing that an overabundance of oral pathogens may contribute to Alzheimer's disease. The interconnectivity between the microbiome and the immune response is thus a fundamental component of a large variety of human diseases in all age groups and underscores the need for an integrated approach to studying the microbiome, inflammation and pathogenicity using cross-disciplinary approaches.

Currently there is an outstanding group of scientists conducting research into diverse aspects of microbiomics and infectious diseases scattered throughout multiple departments in the University. This configuration does not optimally utilize the significant intellectual resources extant at the University, or fully leverage equipment and resources. We have begun to address this issue with the creation of an NIH-funded P20 Cobre on Functional Microbiomics, Inflammation and Pathogenicity.

This is a junior faculty training grant which pairs unfunded early career stage faculty with more senior funded investigators, participating in projects revolving around the theme of microbially-induced inflammation and disease. In the 3 years the Cobre has been operational we have several successes: four junior faculty have received R01 funding, we have been awarded a supplement to study Alzheimer's Disease, and we have constructed a germ-free and gnotobiotic mouse facility. A major purpose of the proposed CMIP is to sustain and expand the progress made by the Cobre. As junior faculty receive funding and rotate off the Cobre, the CMIP will provide a structure for them to remain integrated with senior faculty and with other Cobre investigators and graduates. Importantly, we can continue to support them with Cobre core resources and with core facilities to be developed in the CMIP. This will help maintain productivity on their existing grants and generate preliminary data for new applications, both individual and Center-based.

We will also be able to include investigators that are not part of the Cobre mentoring group, which will allow partnerships among scientists committed to the investigation of diseases to flourish and help ensure a pipeline of mentors and mentees. In turn, this will ensure the long-term sustainability of the Cobre research focus beyond the NIH-funded period, which is a criterion for continued NIH funding.

The collaborative and multi-disciplinary research that will be stimulated by the Center will increase the number of grant submissions and allow us to be more competitive for extramural research funding. A major metric of success of the Center, therefore, would be increases in the number of submitted and funded grant proposals in the associated departments. In particular, the Center will provide impetus for generating a thematic P01 Center grant on the microbiome. The establishment of such a Center would also enhance recruitment in areas related to Center activities, as faculty would be attracted by the opportunities and support provided by the Center. Ultimately, this will increase the research ranking of the University and individual Schools and departments, which is a major mission across HSC. The University would thus receive national and international recognition for this innovative enterprise. The Center will also be aligned with UofL Grand Challenges in the area of inflammatory diseases.

The Faculty Senate recommended the creation of the Center for Microbiomics, Inflammation and Pathogenicity at their meeting on February 3, 2021. The Executive Vice President/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

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE UNIVERSITY LIBRARIES
FACULTY PERSONNEL DOCUMENT

Academic & Student Affairs Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the revised University Libraries Faculty Personnel Document, as [attached](#) herein.

BACKGROUND:

The Board of Trustees recently approved revisions to the University Libraries Faculty Personnel Document (October 2020). Shortly after that approval, it was discovered that the version approved by the Board was an earlier version, not the version approved by University Libraries Faculty (June 2019) and Faculty Senate (June 2020).

The differences between the two versions are highlighted in the [accompanying version preceding a clean copy](#) of the document presented for Board approval. The changes are as follows:

1. Additional description of faculty rank names
2. Minor stylistic changes e.g., “he or her” → “their”
3. Addition of dates by which certain steps in processes need to be completed, e.g., annual reviews
4. Clarification of processes, e.g., who conducts evaluations of areas of the work assignment, assigning work to subcommittees.
5. Details about rating categories for annual reviews (Outstanding, Commendable, Satisfactory, Needs Improvement, or Unsatisfactory)

The proposed changes were reviewed by the Provost’s office and General Counsel. The Executive Vice President and 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

**UNIVERSITY OF LOUISVILLE UNIVERSITY
LIBRARIES FACULTY PERSONNEL
DOCUMENT**

The University Libraries Faculty (ULF) consists of all full and part-time library faculty members. The function of the ULF is to ensure that the goals and objectives embodied in the unit's vision statement are carried out in service to the University of Louisville and the local and professional communities.

The *University Libraries Faculty Personnel Document* establishes the personnel policy for the ULF in accordance with *The Redbook* and the *Minimum Guidelines for Faculty Personnel Reviews*. This document covers policies and procedures for:

- 1 Faculty Appointments and Tenure
 - 1.1 Full-time Appointments
 - 1.2 Part-time Appointments
 - 1.3 Emeritus Faculty
 - 1.4 Rank for New Appointments
- 2 Faculty Personnel Reviews
 - 2.0 Performance Criteria
 - 2.1 Annual Review
 - 2.2 Tenure
 - 2.3 Promotion in Rank
 - 2.4 Periodic Career Review
- 3 Conditions of Faculty Employment
- 4 Resolution of Disagreements
- 5 Termination of Service
- 6 Procedure for Amending University Libraries Faculty Personnel Document

The ULF delegates responsibility for implementing these policies and procedures to the ULF Personnel Committee, which makes recommendations on all of the above issues to the Dean, University Libraries, hereafter referred to as the Dean. The rules for the composition and election of members of this committee are set out in the *Bylaws of the University Libraries Faculty*. All personnel decisions are made by and are the responsibility of the Dean.

1 FACULTY APPOINTMENTS AND TENURE

1.1 FULL-TIME APPOINTMENTS

For description of full-time appointments, including non-tenurable (term), probationary and tenured see *The Redbook* Sec. 4.1.1.

1.2 PART-TIME APPOINTMENTS

For description of part-time appointments see *The Redbook* Sec. 4.1.2. For the purposes of all other personnel actions, part-time appointments are considered non-tenurable appointments.

1.3 EMERITUS FACULTY

The honorary title Professor Emeritus may be conferred upon retired faculty if requested by the ULF and the Dean, and approved by the President and Board of Trustees as stated in *The Redbook* Sec. 4.1.3.

1.4 RANK FOR NEW APPOINTMENTS

A librarian must have a master's degree from an American Library Association-accredited

library school or the equivalent professional credentials, or a graduate degree in other professional or scholarly fields where appropriate. An archivist must have a master's degree in archives administration, history, library science, information management, business administration, or other relevant field. University Libraries faculty ranks are Lecturer, Instructor, Assistant Professor, Associate Professor and Professor. These ranks apply to both term and tenure track faculty, except for Lecturer, which is used only for term faculty. The Personnel Committee makes recommendations on rank for new appointments after considering the candidate's credentials with the requirements outlined in the ULF Personnel Document 2.3.A and Appendix II.

2 FACULTY PERSONNEL REVIEWS

2.0 PERFORMANCE CRITERIA

The following criteria are the basis of all faculty reviews in the University Libraries (See Appendix I). Effective performance in Criterion A is essential for all of the reviews documented in Sec. 2. Performance requirements for Criteria B-C are determined according to the type of review and the faculty member's individual workplan during the review period. Failure to accomplish significant activities as listed in the annual workplan(s) will be considered unsatisfactory performance.

Criteria A will be assessed in writing by the supervisor; Criteria B and C will be assessed in writing by the Personnel Committee. The assessment will include an evaluation of performance as specified in the annual workplan. The evaluation ratings are Outstanding, Commendable, Satisfactory, Needs Improvement, and Unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank as described in Appendix II. Unsatisfactory ratings require additional documentation from the supervisor.

A. Criterion A: Teaching

The term teaching applies to the wide range of functions librarians and archivists perform. Activities that contribute to the operations of the University Libraries fall under this criterion. These activities include but are not limited to administration, assessment and resource planning, technical services, information delivery, information literacy, liaison activities, outreach, resource selection, and technology administration. Professional development activities are included in this criterion.

B. Criterion B: Research or Creative Activity

Research or creative activity focuses on the advancement of knowledge in the fields of librarianship, archival administration, information science, information technology, or other areas of scholarship as related to the faculty member's position. This activity may represent a scholarly approach to innovation, assessment, and evaluation of services, participation in scholarly discourse and reflection concerning the discipline, or scholarly work in a complementary discipline that informs or is informed by the librarian/archivist's provision of services. Emphasis will be placed on work that becomes part of the scholarly record.

C. Criterion C: Service to the Profession, the Unit, the University, or the Community

This criterion is defined as sharing one's professional expertise within the profession, the unit, the University, or the community in general. Examples of activities in this criterion include participating in professional and scholarly organizations, sponsoring student organizations, participating in University-wide committees and initiatives, and consulting in one's area of professional expertise.

2.1 ANNUAL REVIEWS

- A. Annual reviews follow *The Redbook* Sec. 4.2.1 and the *Minimum Guidelines*.
- B. All ULF members must be reviewed in writing annually (See Appendix I).
- C. Each faculty member creates annually a written workplan in conjunction with their supervisor. The workplan will support the mission and goals of the University Libraries and is the basis for all personnel reviews (See Sec. 2.0.)
 - 1. The annual workplan will specify the responsibilities of the faculty member for teaching, research or creative activity, and service. Each faculty member, in agreement with their supervisor, will indicate what percentage of effort that will be spent in Criteria A-C. The percentages represent an understanding of workload distribution between faculty member and supervisor.
 - 2. Faculty permanently or temporarily appointed or reassigned to specialized roles for the purpose of meeting unit needs may develop workplans that specify activity in only one of those areas.
 - 3. When circumstances require changes in the annual workplan, the faculty member and supervisor must file an amended plan (including an explanation of the necessary changes) for the approval of the Dean. Faculty members may not submit revised annual workplans after November 15.
- D. The annual review measures achievement of the goals outlined in the annual workplan and based on written evidence. Performance evaluations will be based on the individual's accomplishments and contributions in helping the University Libraries meet its goals and objectives in support of the University's strategic plan.
- E. Each faculty member will have the opportunity to present documentation of performance and effort relative to their annual workplan each year. Guidelines for documentation are in Appendix I, the ULF Personnel Document, and the ULF Personnel Committee Manual. By November 15 each year the Personnel Committee will send written instructions regarding the written documentation.
- F. All salary increase decisions will be at the discretion of the Dean.
 - 1. Criterion A will be evaluated in writing by the ULF member's supervisor; Criteria B and C will be evaluated in writing by the Personnel Committee.
 - 2. The evaluations of the supervisor and the Personnel Committee will be provided to the Dean and be the basis of salary increase decisions.
 - 3. The Dean may use a portion (not to exceed 5%) of the funds allocated to the unit for salary increases for a particular year to award special, one-time payments to faculty members for exceptional effort or achievement beyond that rewarded in the regular salary increase process.
 - 4. The standard period of performance to be covered in the review for salary increases will be the preceding calendar year. When there is an increase of 3% or more in the salary pools between two or more consecutive years, the University Libraries Faculty will make a recommendation to the Dean regarding distribution of salary increases taking into consideration the annual rankings achieved by the faculty member over the period.

- G. The Dean will report annually to the ULF at the May meeting and to the Executive Vice President and University Provost the distribution of the percentage salary increases received by all faculty members and a description of the system used to arrive at such salary increases.
- H. The Personnel Committee will preserve annual reviews electronically and in the Office of the Dean. Individual faculty members will be responsible for maintaining the documentary evidence supporting each annual review through the next personnel action.
- I. A positive annual review does not guarantee promotion, tenure, satisfactory periodic career review, or contract renewal.
- J. Annual Review Procedure
 1. The calendar for annual review is outlined in the *University Libraries Faculty Personnel Committee Manual*.
 2. By November 15 each year, the Dean will send a letter to each ULF member announcing the date by which documentation of the year's annual performance must be received.
 3. Each faculty member will prepare a written annual performance summary describing and documenting all activities in Criteria A-C as outlined in the annual workplan. The format of the section of the annual performance summary covering Criterion A will be agreed upon by the ULF member and their supervisor and can take the form of a narrative or bulleted list. If the faculty member and supervisor are unable to agree the supervisor will determine the format. By November 15 each year, written instructions for the section that pertains to Criteria B and C will be provided by the Personnel Committee. Each faculty member is required to include in the annual review an accounting of all professional work done outside the University.
 4. Each faculty member will provide their annual workplan and annual performance summary in print and electronic form, as well as documentation, if needed, to the supervisor, and to the Personnel Committee.
 5. The supervisor will write a formal evaluation of Criterion A and the Personnel Committee will write a formal evaluation of Criteria B-C.

A faculty member's annual performance will be assessed by the Personnel Committee and the faculty member's supervisor using the following scale: faculty members will only be rated for criteria in which they have work plan commitments. Definitions set forth in this section are to provide guidance to faculty members, Personnel Committee, and supervisors in making reasonable and fair assessments of achievements and performance and to encourage a common understanding of good performance rather than rigid criteria that could discourage experimentation and innovation. In effect, the definitions strive to emphasize a balance of quantitative outcomes and qualitative efforts.

Outstanding:

Performance and accomplishments throughout the rating period that far exceed the standards and expectations of the position, both in quantity and quality.

Commendable:

Performance and accomplishments throughout the rating period that consistently met the standards and expectations of the position, and may exceed them occasionally.

Satisfactory:

Performance and accomplishments throughout the rating period that meet the standards and expectations of the position. Minor deviations may occur, but the overall level of performance meets all position expectations.

Needs Improvement:

Performance and accomplishments throughout the rating period were mostly met and satisfactory based on the standards and expectations of the position, but a need for further development is recognized.

Unsatisfactory:

Performance and accomplishments throughout the rating period that were consistently unsatisfactory for the standards and failed to meet the expectations of the position. There was failure to meet essential goals and improvement is needed in all or most aspects of the position. A plan to correct performance, with corresponding timelines, must be outlined and monitored if this rating is given.

6. The Personnel Committee will forward the finalized evaluation(s) of Criteria B-C to the supervisor, and the supervisor will forward the finalized evaluation of Criteria A to the Personnel Committee. The supervisor or the Personnel Committee may request a meeting to discuss the review and respond to questions. After consensus on an overall rating of Outstanding, Commendable, Satisfactory, Needs Improvement, or Unsatisfactory has been reached between the Personnel Committee and the supervisor, the supervisor will share all evaluations with the faculty member. If consensus cannot be reached, the supervisor's evaluation stands for Criterion A, and the Personnel Committee's ratings stand for Criteria B and C. The supervisor will share the final, written evaluations with the faculty member.
7. The supervisor and the faculty member will meet for discussion of the evaluation of Criteria A-C and, if necessary, develop recommendations for improved performance. Both the supervisor and the faculty member will sign the faculty evaluation summary and forward it back to the Personnel Committee. Each faculty member will be given an opportunity to respond to these recommendations and their performance evaluation so that timely adjustments may be made before the final recommendation of the dean. If agreement cannot be reached, then the faculty member may appeal as outlined in section 2.1.K of this document.
8. All faculty evaluations will be provided to the office of the Dean for use in ranking and subsequent determination of salary increases.
9. The Dean will make salary decisions and inform each faculty member in writing of their salary decision.
 - a. Only faculty whose performance is judged to be at the level of needs improvement or above in Criteria A will receive a salary increase. Faculty who are judged to be Unsatisfactory in any criteria will not be eligible for a salary increase.
 - b. A decision for a zero-salary increase must be submitted for approval of the Executive Vice President and University Provost. This decision will include the

reasons for the zero salary increase and specific suggestions for improving any performance considered to be Unsatisfactory.

10. Probationary or term faculty receiving an overall rating of needs improvement for more than one year will be given a terminal one-year contract. Probationary or term faculty receiving an unsatisfactory rating in all criteria will be terminated. See Sec. 5, Termination of Service.

K. Annual Review Appeal Process

1. The annual review appeal process outlined in this section is conducted outside of the University's formal grievance procedure. For additional information about resolution of faculty disputes, consult Section 4.4 of the Redbook.
2. Faculty members have the right to appeal the performance evaluation for the current review period by submitting a claim in writing to the Appeals Committee. Claims may concern Criterion A, B, C, or any combination thereof, and must be submitted within ten working days of receiving the performance evaluation letter. Claims must identify the specific area or areas in dispute and provide directly relevant evidence and/or facts substantiating those claims.
3. The Appeals Committee is responsible for reviewing the faculty person's claim and may revise a faculty member's rating. The Appeals Committee will consider the faculty member's claim and report a final decision in writing within ten working days. During this time, the Appeals Committee may request additional evidence and/or facts from or may, if judged necessary, meet with the faculty member and/or faculty member's supervisor(s) for further clarification and discussion.
4. When the appeal is made by a faculty member whose direct supervisor is a standing member of the Appeals Committee, the alternate member of the Personnel Committee will replace that faculty member for the duration of the appeals process through its conclusion.
5. The Appeals Committee will report the recommendation and rationale of the committee in writing to the Dean and all parties directly involved in the appeal. The Dean will respond with a rationale to the recommendation in writing to all parties directly involved in the appeal. The Dean's decision is final within the unit.
6. Salary decisions may be appealed in writing to the Dean within five working days of receiving the salary decision letter. The Dean will reconsider the salary decision and respond in writing to the faculty member's appeal within five working days.

2.2 TENURE REVIEWS

- A.** All promotion and tenure reviews are conducted by a Promotion and Tenure Subcommittee of the Personnel committee.

B. Length of Probationary Period

1. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. In most cases, the tenure review will occur at the same time as the review for promotion to Associate Professor.
2. All probationary faculty who have had seven years of service counted in a tenurable faculty position, if reemployed full time, shall be granted tenure.

C. Leaves of Absence

One year spent on an officially approved leave of absence may be counted toward the seven

years of full-time 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.

D. Extension of Probationary Period

See *The Redbook* Sec. 4.2.2.C.

E. Pre-Tenure Review

Faculty members will undergo a comprehensive pre-tenure review, typically after the third year of service in the University Libraries. If a faculty member receives three or more years of credit toward tenure when he or she is hired, the hiring process may be considered a pre-tenure review. The purpose of the pre-tenure review is to inform the faculty member about progress toward meeting the University Libraries' standards for tenure. The review will be conducted with the same level of rigor and by the same process as a tenure review; however, external reviews are not required. Faculty members undergoing a pre-tenure review will receive the results in writing. This review is advisory only and does not constitute sufficient justification for award or denial of tenure.

F. Early Tenure

Early tenure may be granted as indicated in *The Redbook*, Sec. 4.2.2.E.

G. Criteria for Tenure

1. Completion of the probationary period with successful annual or pre-tenure reviews is not sufficient grounds for tenure. Candidates must demonstrate the level of performance required for promotion to Associate Professor as described in Sec. 2.3.A.3. It should be noted that tenure is a more critical action than promotion because it is evidence of the University's firm and enduring commitment to the individual.
2. Faculty members in a probationary status will be affected by any amendments to or change in the criteria for tenure subsequent to their appointment. In such cases, appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.

H. Evaluation for Tenure

1. For the purposes of tenure reviews, the University Libraries are a unit without departments or divisions.
2. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated unless the faculty member resigns or is subject to termination.
3. The Personnel Committee will notify faculty members as they become eligible for tenure review.
4. The candidate will submit relevant material for review, as described in Appendix II. Tenure reviews will require external review. In the case of tenure with promotion only one dossier will be submitted. Procedures for external review are outlined in Appendix II.
5. The candidate will be shown any material included in the tenure dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
6. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by written secret ballot for or against promotion and tenure for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be

permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate's dossier.

7. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for tenure and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
8. The Personnel Committee will communicate its recommendation regarding tenure in writing to the Dean. This recommendation will be included in all higher levels of review.
9. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost.
10. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.

2.3 PROMOTION IN RANK

All members of the ULF (except Lecturers) are eligible for promotion through the faculty ranks. Promotion is granted on the basis of significant contributions to the University Libraries, the University, the profession, or the community, state, or nation. Successful annual reviews are not sufficient grounds for promotion. Candidates will also be evaluated on the basis of a continuing record of achievement; contributions to the written scholarly record; evidence of professional development; and contributions to the mission and goals of the University Libraries. Neither seniority nor time in rank is to be the sole basis for promotion. It is the responsibility of the faculty member to ensure his or her ability to satisfy the criteria for promotion as described below. All promotion and tenure reviews are conducted by a Promotion and Tenure Subcommittee of the Personnel Committee.

A. Criteria for Promotion in Rank for Full-Time Faculty

1. Lecturers are not eligible for promotion.
2. Promotion from Instructor to Assistant Professor
Promotion from Instructor to Assistant Professor requires at least two years of experience at the rank of Instructor, one of which must be at the University of Louisville. Promotion from Instructor to Assistant Professor is based primarily on evidence of successful performance in the faculty member's position, and with at least one accomplishment in Criterion B and Criterion C each over the review period. See Appendix II, Sec. I, for characteristics of the Assistant Professor rank.
3. Promotion from Assistant Professor to Associate Professor
Promotion from Assistant Professor to Associate Professor normally requires at least four years of experience at the rank of Assistant Professor, three of which must be at the University of Louisville. Promotion at this level is based on evidence of broad proficiency in Criteria A, B, and C, so as to show continuing promise to develop the faculty member's individual strengths, see *Minimum Guidelines*, Sec. 4.E. Such proficiency will involve successful performance in the faculty member's position and, normally, at least one accomplishment in Criterion B and one activity in Criterion C for each year since the last personnel action with a minimum of four in each criterion. The typical expectation for accomplishment in B is two scholarly articles in peer reviewed journals or works demonstrating a comparable level of scholarship and one scholarly presentation at a meeting of a professional organization. It must be evident that activity in Criterion B and C is consistent and will continue. See

Appendix II, Sec. I, for characteristics of the Associate Professor rank. In the case of those achieving tenure with this promotion, the criteria for tenure must be met, as described in Sec. 2.2 and Appendix II.

4. Promotion from Associate Professor to Professor
Promotion from Associate Professor to Professor normally requires a minimum of five years of experience at the rank of Associate Professor, three of which must be at the University of Louisville. Candidates for promotion to Professor must be evaluated in the areas and by the distribution of effort specified in their approved annual workplans for the period under review. The typical expectation in Criterion B for promotion to Professor is at least three scholarly articles in peer-reviewed journals or works demonstrating a comparable level of scholarship, and at least three scholarly presentations at meetings of professional organizations since attaining the rank of Associate Professor. In Criterion C, the typical expectation is at least one activity for each year since promotion to Associate Professor. It must be evident that activity in Criterion B and C is consistent and will continue. See Appendix II, Sec. I, for characteristics of the Professor rank.
5. Criteria for Promotion in Rank for Part-Time Faculty
 - a. It is recognized that the responsibilities of part-time faculty may differ significantly from those with full-time appointments. In a promotion consideration, there should be tangible evidence that a candidate's contributions are significant to the mission of the University Libraries.
 - b. Neither seniority nor time in rank is to be the sole basis for promotion. The criteria for promotion of part-time faculty members are the same as those for full-time as described above.

B. Evaluation for Promotion

1. For the purposes of promotion reviews, the University Libraries are a unit without departments or divisions.
2. The Personnel Committee will notify faculty members as they become eligible for promotion review.
3. The candidate will submit relevant material for review, as described in Appendix II. Promotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require external review. Procedures for external review are outlined in Appendix II.
4. The candidate will be shown any material included in the promotion dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
5. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by written secret ballot for or against promotion for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate's dossier.
6. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for promotion

and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.

7. The Personnel Committee will communicate its recommendation regarding promotion in writing to the Dean. This recommendation will be included in all higher levels of review.
8. The faculty member may add newly available material evidence for reconsideration by the previous evaluators before the file is forwarded to the Executive Vice President and University Provost.
9. Based on the file compiled through this process, the Dean will make the unit recommendation. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Prior to submitting the unit recommendation to the Executive Vice President and University Provost, the candidate will have the opportunity to review the recommendations and, within five working days, write a rebuttal if desired. The Dean will forward the triptych to the Executive Vice President and University Provost and will notify the Personnel Committee, the supervisor, and the candidate of the unit recommendation. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.
10. If the Executive Vice President and University Provost disagrees with the unit recommendation, the Executive Vice President and University Provost will send a statement of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.
11. If the recommendation of the Executive Vice President and University Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.
12. The Executive Vice President and University Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.
13. In any case where the initial recommendation to deny promotion is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's notice. The report of the University Faculty Grievance Committee will make a recommendation for promotion or denial of promotion to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.
14. In all cases, the Board of Trustees makes the final decision on promotion.

2.4 PERIODIC CAREER REVIEW

The purpose of Periodic Career Review (PCR) is to promote the continued professional development of the faculty.

- A. Faculty members with tenure shall undergo a career review after every fifth year of service with the following exceptions:
 1. A successful promotion review will serve as a career review, and the next review will not take place until five years after the promotion review.
 2. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year.

3. Faculty members planning to request promotion to Professor in the next academic year may defer review for one year.
- B. All of *The Redbook* rights of due process and appeal for faculty will apply in these reviews.
- C. Procedures for Periodic Career Review
 1. All periodic career reviews for faculty members with tenure shall take place in the spring semester of the academic year.
 2. The calendar for PCR is outlined in the *University Libraries Faculty Personnel Committee Manual*. The Promotion and Tenure Subcommittee will notify those faculty members scheduled for review, their supervisors, and the Dean.
 3. The Promotion and Tenure Subcommittee will base its evaluation on annual reviews and associated documentation for each of the five years being reviewed. The faculty member may add any appropriate material.
 4. The evaluation report will characterize the faculty member's overall contribution as satisfactory: meeting University Libraries criteria, or unsatisfactory: not meeting University Libraries criteria.
- D. If the faculty member has received at least a Satisfactory rating in all annual reviews for the specified review period, the faculty member has met the University Libraries criteria. The Promotion and Tenure Subcommittee will review the file and characterize the member's contribution as satisfactory: meeting University Libraries criteria.
- E. If the faculty member has not received at least a Satisfactory rating in all annual reviews for the specified review period, the Promotion and Tenure Subcommittee will review the material to determine whether the faculty member's performance has met the University Libraries criteria overall meriting a satisfactory rating or is unsatisfactory.
- F. Supplementary salary increases may be awarded per the *Minimum Guidelines*, Sec. V.
- G. The Promotion and Tenure Subcommittee will forward its recommendations regarding PCR to the Dean. The Dean will issue the final evaluation report to the faculty member and will notify the Executive Vice President and University Provost in writing indicating satisfactory or unsatisfactory results.
 1. If the conclusion of the report is that the faculty member's overall contribution has been satisfactory over the review period, the faculty member begins the five-year review cycle in the following year.
 2. If the conclusion of the report is that the faculty member's overall contribution has been unsatisfactory, the report will state the deficiency(ies) that was (were) the basis for this conclusion. Within thirty calendar days of receipt of the report, the faculty member, in consultation with the appropriate supervisor and the Dean, will prepare a career development plan to remedy the deficiency(ies) in one year unless the Dean approves a longer period.
 - a. If the faculty member completes the agreed-upon career development plan, the faculty member shall then have one year to demonstrate satisfactory performance. The faculty member will then undergo another periodic review in the following academic year.
 - b. If the faculty member fails to complete the agreed-upon career development plan, the faculty member may ask for an extension of one year, to be granted at the discretion of the Dean. After the extension, the Promotion and Tenure Subcommittee, the Dean, and the supervisor will assess the faculty member's progress in the completion of the professional development plan.
 - i. If satisfactory, a special career review will be conducted one year later by the Promotion and Tenure Subcommittee in conjunction with the Dean and the supervisor.

- ii. If unsatisfactory, the faculty member will be subject to appropriate disciplinary action, which may include proceedings for termination as described in *The Redbook*, Article 4.5.

3 CONDITIONS OF FACULTY EMPLOYMENT

The conditions of faculty employment in the University Libraries follow *The Redbook*, Article 4.3.

4 RESOLUTION OF DISAGREEMENTS

Except for those with temporary or emeritus appointments, all ULF members may participate in the procedures described in *The Redbook*, Article 4.4; however, only tenured ULF members may seek election to the University Faculty Grievance Committee.

5 TERMINATION OF SERVICE

Termination of service of tenured or probationary faculty follows *The Redbook*, Article 4.5.

6 PROCEDURE FOR AMENDING UNIVERSITY LIBRARIES FACULTY PERSONNEL DOCUMENT

A. Any voting member of the ULF may propose changes to the University Libraries Faculty Personnel Document or any of its appendices. Proposed amendments must be submitted in writing to the Personnel Committee. The Personnel Committee must distribute the proposed amendment to each member of the ULF at least five working days in advance of a faculty meeting.

B. A written ballot must be distributed at the meeting. In order for the amendment to be approved, at least half of the membership must be present, and the amendment must be approved by at least two-thirds of the members present. If a majority of members is not present or if the majority of the faculty members present so wish, a mail ballot may be used.

C. Amendments to the *University Libraries Faculty Personnel Document* must also be approved by the Faculty Senate, the Executive Vice President and University Provost, and the Board of Trustees. Amendments to any of the appendices can be made solely with the approval of the ULF.

Approved by University Libraries Faculty: March 21, 1985

Approved by Board of Trustees: May 20, 1985

Approved by University Libraries Faculty: November 15, 1990

Approved by Board of Trustees: March 25, 1991

Amended by University Libraries Faculty: April 18, 1996

Approved by Board of Trustees: May 20, 1996

Amended by University Libraries Faculty: March 26, 1998; January 27, 1999; December 15, 1999; April 20, 2000

Approved by Board of Trustees: February 26, 2001

Amended by University Libraries Faculty: September 2001

Approved by Board of Trustees: April 22, 2002

Approved by University Libraries Faculty: September 23, 2010

Approved by Board of Trustees: November 11, 2010

Approved by University Libraries Faculty: February 20, 2012

Approved by Board of Trustees: June 28, 2012

Approved by University Libraries Faculty: June 14, 2019

Approved by Faculty Senate: June 3, 2020

Approved by Board of Trustees: October 28, 2020

Corrected version approved by Board of Trustees: April 22, 2021

**UNIVERSITY OF LOUISVILLE UNIVERSITY
LIBRARIES FACULTY PERSONNEL
DOCUMENT**

The University Libraries Faculty (ULF) consists of all full and part-time library faculty members. The function of the ULF is to ensure that the goals and objectives embodied in the unit's vision statement are carried out in service to the University of Louisville and the local and professional communities.

The *University Libraries Faculty Personnel Document* establishes the personnel policy for the ULF in accordance with *The Redbook* and the *Minimum Guidelines for Faculty Personnel Reviews*. This document covers policies and procedures for:

- 1 Faculty Appointments and Tenure
 - 1.1 Full-time Appointments
 - 1.2 Part-time Appointments
 - 1.3 Emeritus Faculty
 - 1.4 Rank for New Appointments
- 2 Faculty Personnel Reviews
 - 2.0 Performance Criteria
 - 2.1 Annual Review
 - 2.2 Tenure
 - 2.3 Promotion in Rank
 - 2.4 Periodic Career Review
- 3 Conditions of Faculty Employment
- 4 Resolution of Disagreements
- 5 Termination of Service
- 6 Procedure for Amending University Libraries Faculty Personnel Document

The ULF delegates responsibility for implementing these policies and procedures to the ULF Personnel Committee, which makes recommendations on all of the above issues to the Dean, University Libraries, hereafter referred to as the Dean. The rules for the composition and election of members of this committee are set out in the *Bylaws of the University Libraries Faculty*. All personnel decisions are made by and are the responsibility of the Dean.

1 FACULTY APPOINTMENTS AND TENURE

1.1 FULL-TIME APPOINTMENTS

For description of full-time appointments, including non-tenurable (term), probationary and tenured see *The Redbook* Sec. 4.1.1.

1.2 PART-TIME APPOINTMENTS

For description of part-time appointments see *The Redbook* Sec. 4.1.2. For the purposes of all other personnel actions, part-time appointments are considered non-tenurable appointments.

1.3 EMERITUS FACULTY

The honorary title Professor Emeritus may be conferred upon retired faculty if requested by the ULF and the Dean, and approved by the President and Board of Trustees as stated in *The Redbook* Sec. 4.1.3.

1.4 RANK FOR NEW APPOINTMENTS

A librarian must have a master's degree from an American Library Association-accredited

library school or the equivalent professional credentials, or a graduate degree in other professional or scholarly fields where appropriate. An archivist must have a master's degree in archives administration, history, library science, information management, business administration, or other relevant field. University Libraries faculty ranks are Lecturer, Instructor, Assistant Professor, Associate Professor and Professor. These ranks apply to both term and tenure track faculty, except for Lecturer, which is used only for term faculty. The Personnel Committee makes recommendations on rank for new appointments after considering the candidate's credentials with the requirements outlined in the ULF Personnel Document 2.3.A and Appendix II.

2 FACULTY PERSONNEL REVIEWS

2.0 PERFORMANCE CRITERIA

The following criteria are the basis of all faculty reviews in the University Libraries (See Appendix I). Effective performance in Criterion A is essential for all of the reviews documented in Sec. 2. Performance requirements for Criteria B-C are determined according to the type of review and the faculty member's individual workplan during the review period. Failure to accomplish significant activities as listed in the annual workplan(s) will be considered unsatisfactory performance.

Criteria A will be assessed in writing by the supervisor; Criteria B and C will be assessed in writing by the Personnel Committee. The assessment will include an evaluation of performance as specified in the annual workplan. The evaluation ratings are Outstanding, Commendable, Satisfactory, Needs Improvement, and Unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank as described in Appendix II. Unsatisfactory ratings require additional documentation from the supervisor.

A. Criterion A: Teaching

The term teaching applies to the wide range of functions librarians and archivists perform. Activities that contribute to the operations of the University Libraries fall under this criterion. These activities include but are not limited to administration, assessment and resource planning, technical services, information delivery, information literacy, liaison activities, outreach, resource selection, and technology administration. Professional development activities are included in this criterion.

B. Criterion B: Research or Creative Activity

Research or creative activity focuses on the advancement of knowledge in the fields of librarianship, archival administration, information science, information technology, or other areas of scholarship as related to the faculty member's position. This activity may represent a scholarly approach to innovation, assessment, and evaluation of services, participation in scholarly discourse and reflection concerning the discipline, or scholarly work in a complementary discipline that informs or is informed by the librarian/archivist's provision of services. Emphasis will be placed on work that becomes part of the scholarly record.

C. Criterion C: Service to the Profession, the Unit, the University, or the Community

This criterion is defined as sharing one's professional expertise within the profession, the unit, the University, or the community in general. Examples of activities in this criterion include participating in professional and scholarly organizations, sponsoring student organizations, participating in University-wide committees and initiatives, and consulting in one's area of professional expertise.

2.1 ANNUAL REVIEWS

- A. Annual reviews follow *The Redbook* Sec. 4.2.1 and the *Minimum Guidelines*.
- B. All ULF members must be reviewed in writing annually (See Appendix I).
- C. Each faculty member creates annually a written workplan in conjunction with **his or her their** supervisor. The workplan will support the mission and goals of the University Libraries and is the basis for all personnel reviews (See Sec. 2.0.)
 - 1. The annual workplan will specify the responsibilities of the faculty member for teaching, research or creative activity, and service. Each faculty member, in agreement with **their** supervisor, will indicate what percentage of effort that will be spent in Criteria A-C. The percentages represent an understanding of workload distribution between faculty member and supervisor.
 - 2. Faculty permanently or temporarily appointed or reassigned to specialized roles for the purpose of meeting unit needs may develop workplans that specify activity in only one of those areas.
 - 3. When circumstances require changes in the annual workplan, the faculty member and supervisor must file an amended plan (including an explanation of the necessary changes) for the approval of the Dean. Faculty members may not submit revised annual workplans after November 15.
- D. The annual review measures achievement of the goals outlined in the annual workplan and based on written evidence. Performance evaluations will be based on the individual's accomplishments and contributions in helping the University Libraries meet its goals and objectives in support of the University's strategic plan.
- E. Each faculty member will have the opportunity to present documentation of performance and effort relative to **their** annual workplan each year. **Guidelines for documentation are in Appendix I, the ULF Personnel Document, and the ULF Personnel Committee Manual. By November 15 each year the Personnel Committee will send written instructions regarding the written documentation.**
- F. All salary increase decisions will be at the discretion of the Dean.
 - 1. **Criterion A will be evaluated in writing by the ULF member's supervisor; Criteria B and C will be evaluated in writing by the Personnel Committee.**
 - 2. The evaluations of the supervisor and the Personnel Committee will be provided to the Dean and be the basis of salary increase decisions.
 - 3. The Dean may use a portion (not to exceed 5%) of the funds allocated to the unit for salary increases for a particular year to award special, one-time payments to faculty members for exceptional effort or achievement beyond that rewarded in the regular salary increase process.
 - 4. The standard period of performance to be covered in the review for salary increases will be the preceding calendar year. When there is an increase of 3% or more in the salary pools between two or more consecutive years, the **University Libraries Faculty** will make a recommendation to the Dean regarding distribution of salary increases taking into consideration the annual rankings achieved by the faculty member over the period.

- G. The Dean will report annually to the ULF at the May meeting and to the Executive Vice President and University Provost the distribution of the percentage salary increases received by all faculty members and a description of the system used to arrive at such salary increases.
- H. The Personnel Committee will preserve annual reviews electronically and in the Office of the Dean. Individual faculty members will be responsible for maintaining the documentary evidence supporting each annual review through the next personnel action.
- I. A positive annual review does not guarantee promotion, tenure, satisfactory periodic career review, or contract renewal.
- J. Annual Review Procedure
 1. The calendar for annual review is outlined in the *University Libraries Faculty Personnel Committee Manual*.
 2. **By November 15 each year**, the Dean will send a letter to each ULF member announcing the date by which documentation of the year's annual performance must be received.
 3. Each faculty member will prepare a written annual performance summary describing and documenting all activities in Criteria A-C as outlined in the annual workplan. The format of the section of the annual performance summary covering Criterion A will be agreed upon by the ULF member and their supervisor and can take the form of a narrative or bulleted list. **If the faculty member and supervisor are unable to agree the supervisor will determine the format. By November 15 each year, written** instructions for the section that pertains to Criteria B and C will be provided by the Personnel Committee. Each faculty member is required to include in the annual review an accounting of all professional work done outside the University.
 4. Each faculty member will provide **their** annual workplan and annual performance summary in print and electronic form, as well as documentation, if needed, to the supervisor, and to the Personnel Committee.
 5. The supervisor will write a formal evaluation of Criterion A and the Personnel Committee will write a formal evaluation of Criteria B-C.

A faculty member's annual performance will be assessed by the Personnel Committee and the faculty member's **supervisor** using the following scale: faculty members will only be rated for criteria in which they have work plan commitments. Definitions set forth in this section are to provide guidance to faculty members, Personnel Committee, and supervisors in making reasonable and fair assessments of achievements and performance and to encourage a common understanding of good performance rather than rigid criteria that could discourage experimentation and innovation. In effect, the definitions strive to emphasize a balance of quantitative outcomes and qualitative efforts.

Outstanding:

Performance and accomplishments throughout the rating period that far exceed the standards and expectations of the position, both in quantity and quality.

Commendable:

Performance and accomplishments throughout the rating period that consistently met the standards and expectations of the position, and may exceed them occasionally.

Satisfactory:

Performance and accomplishments throughout the rating period that meet the standards and expectations of the position. Minor deviations may occur, but the overall level of performance meets all position expectations.

Needs Improvement:

Performance and accomplishments throughout the rating period were mostly met and satisfactory based on the standards and expectations of the position, but a need for further development is recognized.

Unsatisfactory:

Performance and accomplishments throughout the rating period that were consistently unsatisfactory for the standards and failed to meet the expectations of the position. There was failure to meet essential goals and improvement is needed in all or most aspects of the position. A plan to correct performance, with corresponding timelines, must be outlined and monitored if this rating is given.

6. The Personnel Committee will forward the finalized evaluation(s) of Criteria B-C to the supervisor, and the supervisor will forward the finalized evaluation of Criteria A to the Personnel Committee. The supervisor or the Personnel Committee may request a meeting to discuss the review and respond to questions. After consensus on an overall rating of Outstanding, Commendable, Satisfactory, Needs Improvement, or Unsatisfactory has been reached between the Personnel Committee and the supervisor, the supervisor will share all evaluations with the faculty member. If consensus cannot be reached, the supervisor's evaluation stands for Criterion A, and the Personnel Committee's ratings stand for Criteria B and C. The supervisor will share the final, written evaluations with the faculty member.
7. The supervisor and the faculty member will meet for discussion of the evaluation of Criteria A-C and, if necessary, develop recommendations for improved performance. Both the supervisor and the faculty member will sign the faculty evaluation summary and forward it back to the Personnel Committee. Each faculty member will be given an opportunity to respond to these recommendations and their performance evaluation so that timely adjustments may be made before the final recommendation of the dean. If agreement cannot be reached, then the faculty member may appeal as outlined in section 2.1.K of this document.
8. All faculty evaluations will be provided to the office of the Dean for use in ranking and subsequent determination of salary increases.
9. The Dean will make salary decisions and inform each faculty member in writing of their salary decision.
 - a. Only faculty whose performance is judged to be at the level of needs improvement or above in Criteria A will receive a salary increase. Faculty who are judged to be Unsatisfactory in any criteria will not be eligible for a salary increase.
 - b. A decision for a zero salary increase must be submitted for approval of the Executive Vice President and University Provost. This decision will include the

reasons for the zero salary increase and specific suggestions for improving any performance considered to be Unsatisfactory.

10. Probationary or term faculty receiving an overall rating of needs improvement for more than one year will be given a terminal one-year contract. Probationary or term faculty receiving an unsatisfactory rating **in all criteria** will be terminated. See Sec. 5, Termination of Service.
- K. Annual Review Appeal Process
1. The annual review appeal process outlined in this section is conducted outside of the University's formal grievance procedure. For additional information about resolution of faculty disputes, consult Section 4.4 of the Redbook.
 2. Faculty members have the right to appeal the performance evaluation for the current review period by submitting a claim in writing to the Appeals Committee. Claims may concern Criterion A, B, C, or any combination thereof, and must be submitted within ten working days of receiving the performance evaluation letter. Claims must identify the specific area or areas in dispute and provide directly relevant evidence and/or facts substantiating those claims.
 3. The Appeals Committee is responsible for reviewing the faculty person's claim and may revise a faculty member's rating. The Appeals Committee will consider the faculty member's claim and report a final decision in writing within ten working days. During this time, the Appeals Committee may request additional evidence and/or facts from or may, if judged necessary, meet with the faculty member and/or faculty member's supervisor(s) for further clarification and discussion.
 4. When the appeal is made by a faculty member whose direct supervisor is a standing member of the Appeals Committee, the alternate member of the Personnel Committee will replace that faculty member for the duration of the appeals process through its conclusion.
 5. The Appeals Committee will report the recommendation and rationale of the committee in writing to the Dean and all parties directly involved in the appeal. The Dean will respond with a rationale to the recommendation in writing to all parties directly involved in the appeal. The Dean's decision is final within the unit.
 6. Salary decisions may be appealed in writing to the Dean within five working days of receiving the salary decision letter. The Dean will reconsider the salary decision and respond in writing to the faculty member's appeal within five working days.

2.2 TENURE REVIEWS

A. All promotion and tenure reviews are conducted by a Promotion and Tenure Subcommittee of the Personnel committee.

B. Length of Probationary Period

1. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. In most cases, the tenure review will occur at the same time as the review for promotion to Associate Professor.
2. All probationary faculty who have had seven years of service counted in a tenurable faculty position, if reemployed full time, shall be granted tenure.

C. Leaves of Absence

One year spent on an officially approved leave of absence may be counted toward the seven

years of full-time 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.

D. Extension of Probationary Period

See *The Redbook* Sec. 4.2.2.C.

E. Pre-Tenure Review

Faculty members will undergo a comprehensive pre-tenure review, typically after the third year of service in the University Libraries. If a faculty member receives three or more years of credit toward tenure when he or she is hired, the hiring process may be considered a pre-tenure review. The purpose of the pre-tenure review is to inform the faculty member about progress toward meeting the University Libraries' standards for tenure. The review will be conducted with the same level of rigor and by the same process as a tenure review; however, external reviews are not required. Faculty members undergoing a pre-tenure review will receive the results in writing. This review is advisory only and does not constitute sufficient justification for award or denial of tenure.

F. Early Tenure

Early tenure may be granted as indicated in *The Redbook*, Sec. 4.2.2.E.

G. Criteria for Tenure

1. Completion of the probationary period with successful annual or pre-tenure reviews is not sufficient grounds for tenure. Candidates must demonstrate the level of performance required for promotion to Associate Professor as described in Sec. 2.3.A.3. It should be noted that tenure is a more critical action than promotion because it is evidence of the University's firm and enduring commitment to the individual.
2. Faculty members in a probationary status will be affected by any amendments to or change in the criteria for tenure subsequent to their appointment. In such cases, appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.

H. Evaluation for Tenure

1. For the purposes of tenure reviews, the University Libraries are a unit without departments or divisions.
2. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated unless the faculty member resigns or is subject to termination.
3. The Personnel Committee will notify faculty members as they become eligible for tenure review.
4. The candidate will submit relevant material for review, as described in Appendix II. Tenure reviews will require external review. In the case of tenure with promotion only one dossier will be submitted. Procedures for external review are outlined in Appendix II.
5. The candidate will be shown any material included in the tenure dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
6. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by written secret

ballot for or against promotion **and tenure** for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate's dossier.

7. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for tenure and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
8. The Personnel Committee will communicate its recommendation regarding tenure in writing to the Dean. This recommendation will be included in all higher levels of review.
9. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost.
10. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.

2.3 PROMOTION IN RANK

All members of the ULF (except Lecturers) are eligible for promotion through the faculty ranks. Promotion is granted on the basis of significant contributions to the University Libraries, the University, the profession, or the community, state, or nation. Successful annual reviews are not sufficient grounds for promotion. Candidates will also be evaluated on the basis of a continuing record of achievement; contributions to the written scholarly record; evidence of professional development; and contributions to the mission and goals of the University Libraries. Neither seniority nor time in rank is to be the sole basis for promotion. It is the responsibility of the faculty member to ensure his or her ability to satisfy the criteria for promotion as described below. **All promotion and tenure reviews are conducted by a Promotion and Tenure Subcommittee of the Personnel Committee.**

A. Criteria for Promotion in Rank for Full-Time Faculty

1. Lecturers are not eligible for promotion.
2. Promotion from Instructor to Assistant Professor
Promotion from Instructor to Assistant Professor requires at least two years of experience at the rank of Instructor, one of which must be at the University of Louisville. Promotion from Instructor to Assistant Professor is based primarily on evidence of successful performance in the faculty member's position, and with at least one accomplishment in Criterion B and Criterion C each over the review period. See Appendix II, Sec. I, for characteristics of the Assistant Professor rank.
3. Promotion from Assistant Professor to Associate Professor
Promotion from Assistant Professor to Associate Professor normally requires at least four years of experience at the rank of Assistant Professor, three of which must be at the University of Louisville. Promotion at this level is based on evidence of broad proficiency in Criteria A, B, and C, so as to show continuing promise to develop the faculty member's individual strengths, see *Minimum Guidelines*, Sec. 4.E. Such proficiency will involve successful performance in the faculty member's position and, normally, at least one accomplishment in Criterion B and one activity in Criterion C for each year since the last personnel action with a minimum of four in each criterion. The typical expectation for accomplishment in B is two scholarly articles in peer reviewed journals or works demonstrating a comparable level of scholarship and one scholarly presentation at a meeting of a professional organization. It must

be evident that activity in Criterion B and C is consistent and will continue. See Appendix II, Sec. I, for characteristics of the Associate Professor rank. In the case of those achieving tenure with this promotion, the criteria for tenure must be met, as described in Sec. 2.2 and Appendix II.

4. Promotion from Associate Professor to Professor

Promotion from Associate Professor to Professor normally requires a minimum of five years of experience at the rank of Associate Professor, three of which must be at the University of Louisville. Candidates for promotion to Professor must be evaluated in the areas and by the distribution of effort specified in their approved annual workplans for the period under review. The typical expectation in Criterion B for promotion to Professor is at least three scholarly articles in peer-reviewed journals or works demonstrating a comparable level of scholarship, and at least three scholarly presentations at meetings of professional organizations since attaining the rank of Associate Professor. In Criterion C, the typical expectation is at least one activity for each year since promotion to Associate Professor. It must be evident that activity in Criterion B and C is consistent and will continue. See Appendix II, Sec. I, for characteristics of the Professor rank.

5. Criteria for Promotion in Rank for Part-Time Faculty

- a. It is recognized that the responsibilities of part-time faculty may differ significantly from those with full-time appointments. In a promotion consideration, there should be tangible evidence that a candidate's contributions are significant to the mission of the University Libraries.
- b. Neither seniority nor time in rank is to be the sole basis for promotion. The criteria for promotion of part-time faculty members are the same as those for full-time as described above.

B. Evaluation for Promotion

1. For the purposes of promotion reviews, the University Libraries are a unit without departments or divisions.
2. The Personnel Committee will notify faculty members as they become eligible for promotion review.
3. The candidate will submit relevant material for review, as described in Appendix II. Promotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require external review. Procedures for external review are outlined in Appendix II.
4. The candidate will be shown any material included in the promotion dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
5. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by written secret ballot for or against promotion for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate's dossier.
6. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for promotion

and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.

7. The Personnel Committee will communicate its recommendation regarding promotion in writing to the Dean. This recommendation will be included in all higher levels of review.
8. The faculty member may add newly available material evidence for reconsideration by the previous evaluators before the file is forwarded to the Executive Vice President and University Provost.
9. Based on the file compiled through this process, the Dean will make the unit recommendation. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Prior to submitting the unit recommendation to the Executive Vice President and University Provost, the candidate will have the opportunity to review the recommendations and, within five working days, write a rebuttal if desired. The Dean will forward the triptych to the Executive Vice President and University Provost and will notify the Personnel Committee, the supervisor, and the candidate of the unit recommendation. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.
10. If the Executive Vice President and University Provost disagrees with the unit recommendation, the Executive Vice President and University Provost will send a statement of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.
11. If the recommendation of the Executive Vice President and University Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.
12. The Executive Vice President and University Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.
13. In any case where the initial recommendation to deny promotion is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's notice. The report of the University Faculty Grievance Committee will make a recommendation for promotion or denial of promotion to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.
14. In all cases, the Board of Trustees makes the final decision on promotion.

2.4 PERIODIC CAREER REVIEW

The purpose of Periodic Career Review (PCR) is to promote the continued professional development of the faculty.

- A. Faculty members with tenure shall undergo a career review after every fifth year of service with the following exceptions:
 1. A successful promotion review will serve as a career review, and the next review will not take place until five years after the promotion review.
 2. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year.

3. Faculty members planning to request promotion to Professor in the next academic year may defer review for one year.
- B. All of *The Redbook* rights of due process and appeal for faculty will apply in these reviews.
- C. Procedures for Periodic Career Review
1. All periodic career reviews for faculty members with tenure shall take place in the spring semester of the academic year.
 2. The calendar for PCR is outlined in the *University Libraries Faculty Personnel Committee Manual*. The **Promotion and Tenure Subcommittee** will notify those faculty members scheduled for review, their supervisors, and the Dean.
 3. The **Promotion and Tenure Subcommittee** will base its evaluation on annual reviews and associated documentation for each of the five years being reviewed. The faculty member may add any appropriate material.
 4. The evaluation report will characterize the faculty member's overall contribution as satisfactory: meeting University Libraries criteria, or unsatisfactory: not meeting University Libraries criteria.
- D. If the faculty member has received at least a Satisfactory rating in all annual reviews for the specified review period, the faculty member has met the University Libraries criteria. The **Promotion and Tenure Subcommittee** will review the file and characterize the member's contribution as satisfactory: meeting University Libraries criteria.
- E. If the faculty member has not received at least a Satisfactory rating in all annual reviews for the specified review period, the **Promotion and Tenure Subcommittee** will review the material to determine whether the faculty member's performance has met the University Libraries criteria overall meriting a satisfactory rating, or is unsatisfactory.
- F. Supplementary salary increases may be awarded per the *Minimum Guidelines*, Sec. V.
- G. The **Promotion and Tenure Subcommittee** will forward its recommendations regarding PCR to the Dean. The Dean will issue the final evaluation report to the faculty member and will notify the Executive Vice President and University Provost in writing indicating satisfactory or unsatisfactory results.
1. If the conclusion of the report is that the faculty member's overall contribution has been satisfactory over the review period, the faculty member begins the five-year review cycle in the following year.
 2. If the conclusion of the report is that the faculty member's overall contribution has been unsatisfactory, the report will state the deficiency(ies) that was (were) the basis for this conclusion. Within thirty calendar days of receipt of the report, the faculty member, in consultation with the appropriate supervisor and the Dean, will prepare a career development plan to remedy the deficiency(ies) in one year unless the Dean approves a longer period.
 - a. If the faculty member completes the agreed-upon career development plan, the faculty member shall then have one year to demonstrate satisfactory performance. The faculty member will then undergo another periodic review in the following academic year.
 - b. If the faculty member fails to complete the agreed-upon career development plan, the faculty member may ask for an extension of one year, to be granted at the discretion of the Dean. After the extension, the **Promotion and Tenure Subcommittee**, the Dean, and the supervisor will assess the faculty member's progress in the completion of the professional development plan.
 - i. If satisfactory, a special career review will be conducted one year later by the **Promotion and Tenure Subcommittee** in conjunction with the Dean and the supervisor.

- ii. If unsatisfactory, the faculty member will be subject to appropriate disciplinary action, which may include proceedings for termination as described in *The Redbook*, Article 4.5.

3 CONDITIONS OF FACULTY EMPLOYMENT

The conditions of faculty employment in the University Libraries follow *The Redbook*, Article 4.3.

4 RESOLUTION OF DISAGREEMENTS

Except for those with temporary or emeritus appointments, all ULF members may participate in the procedures described in *The Redbook*, Article 4.4; however, only tenured ULF members may seek election to the University Faculty Grievance Committee.

5 TERMINATION OF SERVICE

Termination of service of tenured or probationary faculty follows *The Redbook*, Article 4.5.

6 PROCEDURE FOR AMENDING UNIVERSITY LIBRARIES FACULTY PERSONNEL DOCUMENT

A. Any voting member of the ULF may propose changes to the University Libraries Faculty Personnel Document or any of its appendices. Proposed amendments must be submitted in writing to the Personnel Committee. The Personnel Committee must distribute the proposed amendment to each member of the ULF at least five working days in advance of a faculty meeting.

B. A written ballot must be distributed at the meeting. In order for the amendment to be approved, at least half of the membership must be present and the amendment must be approved by at least two-thirds of the members present. If a majority of members is not present or if the majority of the faculty members present so wish, a mail ballot may be used.

C. Amendments to the *University Libraries Faculty Personnel Document* must also be approved by the Faculty Senate, the Executive Vice President and University Provost, and the Board of Trustees. Amendments to any of the appendices can be made solely with the approval of the ULF.

Approved by University Libraries Faculty: March 21, 1985

Approved by Board of Trustees: May 20, 1985

Approved by University Libraries Faculty: November 15, 1990

Approved by Board of Trustees: March 25, 1991

Amended by University Libraries Faculty: April 18, 1996

Approved by Board of Trustees: May 20, 1996

Amended by University Libraries Faculty: March 26, 1998; January 27, 1999; December 15, 1999; April 20, 2000

Approved by Board of Trustees: February 26, 2001

Amended by University Libraries Faculty: September 2001

Approved by Board of Trustees: April 22, 2002

Approved by University Libraries Faculty: September 23, 2010

Approved by Board of Trustees: November 11, 2010

Approved by University Libraries Faculty: February 20, 2012

Approved by Board of Trustees: June 28, 2012

Approved by University Libraries Faculty: June 14, 2019

Approved by Faculty Senate: June 3, 2020

Approved by Board of Trustees: October 28, 2020

Corrected version approved by Board of Trustees: April 22, 2021

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

Academic & Student Affairs Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

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

BACKGROUND:

A detailed summary of revisions, attached, precedes the revised personnel document. The four changes are listed here:

Item 1: Remove language suggesting that term faculty members cannot accept outside fellowships or research opportunities. (page 3)

Item 2: Establish ranks into which term faculty members without terminal degrees can be promoted. (page 4)

Item 3: Expansion of tenure and promotion voting modalities in light of pandemic/remote work. (page 13)

Item 4: Revision to the tenure & promotion process for faculty members with joint appointments.

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 Executive Vice President and University Provost joins the President in making this recommendation.

A [summary of revisions](#) precedes the revised personnel document.

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

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 six consecutive 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 six consecutive 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 probationary and tenured faculty member having principal appointment in a department shall have a single vote, and the Chair shall report the vote numerically. A faculty member may have to choose whether to vote as a personnel committee member, administrator, or as a member of the department at large. 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 anonymous and recordable voting. 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. 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.

ii. 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.

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

A&S Personnel Policy—summary of revisions

Passed by Faculty Senate, Jan 13, 2021

Item 1: Remove language suggesting that term faculty members cannot accept outside fellowships or research opportunities. (page 3)

Text:

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 or other academic leaves.**

Item 2: Establish ranks into which term faculty members without terminal degrees can be promoted. (page 4)

Text:

Promotion in rank may be considered after a term faculty member has served six consecutive 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 six consecutive 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.**

Item 3: Expansion of tenure and promotion voting modalities in light of pandemic/remote work. (page 13)

Text:

In tenure and promotion cases, after examination of the evidence, each probationary and tenured faculty member having principal appointment in a department shall have a single vote, and the Chair shall report the vote numerically. A faculty member may have to choose whether to vote as a personnel committee member, administrator, or as a member of the department at large. **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 anonymous and recordable voting. 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.**

Item 4: Revision to the tenure & promotion process for faculty members with joint appointments. These revisions give the secondary department a more substantive role in the review process and differentiate more clearly between joint appointments outlined in letters of offer vs. more informal, ad-hoc arrangements in which a faculty member sometimes teaches or fills service roles in a second department. (pages 13-15)

Text:

~~A faculty member whose principal appointment is in one department but who contributes significantly to the teaching, service, or research and creative activity of a second department is entitled to be reviewed for personnel actions with the participation of the second department. "Significant contribution" in teaching is defined as teaching in one academic year one or more courses unique to or cross listed with another department. "Significant contribution" in service and research and creative activity is defined as performance in either category which exceeds 10 percent of an annual work plan commitment. Upon request of the faculty member under review, the faculty member's 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 triptych prior to the review of the case by the chair of the department of principal appointment.~~

~~In addition, one member from the second department will be appointed to the departmental personnel committee in cases when teaching, research and creative activity, and service in the second department exceeds 25 percent of the faculty member's average annual work plan commitment for the period under review. 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 tenured 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 cases where the department personnel committee is augmented, 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 triptych prior to review of the case by the department Chair.~~

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 preemptory 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.

ii. 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.

RECOMMENDATION TO THE BOARD OF TRUSTEES
REGARDING PERSONNEL MATTERS
Academic and Student Affairs Committee – March 18, 2021
Board of Trustees – April 22, 2021

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

Engineering:

Pratik Parikh, PhD, Professor (Tenured) and Department Chair of Industrial Engineering; additional appointment as Mary Lee and George Duthie Chair, May 1, 2021 through April 30, 2024.

Education: PhD, Virginia Polytechnic Institute and State University

Notable Accomplishments:

Dr. Parikh has extensive funded research experience in the field of hospital trauma systems and evaluation of alternative configurations as well as trauma care network design. Funding source is the National Science Foundation.

Selection Process:

Additional appointment with no additional pay was initiated and approved by the Dean.

Salary Data:

Current base salary: \$165,000
Supplement: \$ 17,556
Total compensation: \$182,556

Proposed salary: \$165,000
Proposed supplement: \$ 17,556
Proposed total: \$182,556

Budget impact: none

Median benchmark comparison: \$177,147

Benchmark position title: Professor

Benchmark source: ASEE Salary Survey, American Society for Engineering Education

Year of benchmark data: 2020

Benchmark data number of incumbents: 275

Benchmark data number of institutions: 46

Medicine:

Rosemary Ouseph, MD, Professor (Term) of Medicine and Division Chief of Nephrology and Hypertension; appointment as Professor (Tenured) of Medicine, April 23, 2021.

Education: MD, University of Louisville

Notable Accomplishments:

After obtaining her medical degree in 1988, Dr. Ouseph completed a Residency in Internal Medicine in 1991, a Clinical Fellowship in Nephrology in 1992, and a Research Fellowship in Nephrology in 1994. Dr. Ouseph received a Master of Science in Public Health from the University of Louisville in 2003. Dr. Ouseph joined the faculty at the University of Louisville as an Assistant Professor of Medicine, Division of Nephrology in 1994. She was promoted to Associate Professor in 2000 and awarded tenure in 2001, after which she was promoted to Professor in 2008. Dr. Ouseph served as the Director of the Metabolic Bone Center from 1998-2001, and Director of the Clinical Transplantation, Kidney Disease Program and Director of the Outpatient Nephrology Office from 2009 to her departure from the University in 2015. Since her departure from Louisville, she has worked as a Tenured Professor of Medicine and Medical Director of the Kidney and Pancreas Program at Saint Louis University.

Selection Process:

Selected by Division Chief and Department Chair.

Salary Data:

Incumbent base salary:	\$ 45,057.00
Incumbent supplement:	\$ 45,685.00
Incumbent supplement:	\$ 80,000.00
Incumbent supplement:	\$ 13,848.33 (ULP Annual Salary)
Incumbent total:	\$184,590.33
Proposed base salary:	\$ 66,500.00
Proposed supplement:	\$ 33,500.00
Proposed supplement:	\$275,000.00 (ULP Annual Salary)
Proposed total:	\$375,000.00

Budget impact: Since this position has been vacant, and not part of the budget, this will be an increase to the budget. A salary higher than the median benchmark was agreed upon to recruit higher quality faculty.

Median benchmark comparison*: \$351,000.00
 Benchmark position title: Professor, Nephrology-Med. (Chief)
 Benchmark source: AAMC
 Year of benchmark data: 2018-2019
 Benchmark data number of incumbents: 39
 Benchmark data number of institutions: N/A

Medicine:

Teresa Pitts, PhD, Associate Professor (Tenured) of Neurological Surgery; additional appointment as Endowed Chair 1 in Neurological Surgery, April 23, 2021 through April 22, 2024.

Education: PhD, University of Florida

Notable Accomplishments:

Dr. Pitts began working at UofL in January 2015, and in January 2021, was promoted to Associate Professor and awarded tenure in the Department of Neurological Surgery. In the last 5 years she has published 24 original research publications, 12 as first or last author. Dr. Pitts currently holds an R01 grant as a Principal Investigator (PI). As a leader she holds the roles of Director of Research and the CMDS 600 Research Methods course developer and Director. This past year she was awarded the prestigious Giles F. Filley Memorial Award for Excellence in Respiratory Physiology and Medicine.

Selection Process:

The agreement that Dr. Scott Whittemore had with then Dean Edward Halperin when Dr. Pitts was recruited was that the endowed chair funds would initially be used to support Dr. Pitts' laboratory and if she was awarded promotion and tenure and had an exemplary academic record, she would be nominated to the named chair.

Salary Data:

Current base salary: \$122,308
Total compensation: \$122,308 (from multiple grants and endowments)

Proposed base salary: \$89,695
Proposed supplement: \$44,485
Proposed total: \$134,180 (from multiple grants and endowments)

Budget impact: \$11,872

Median benchmark comparison: \$127,000
Benchmark position title: Associate Professor
Benchmark source: AAMC Table 25
Year of benchmark data: 2018-19
Benchmark data number of incumbents: 55
Benchmark data number of institutions: 151

Administration

Daniel Durbin, MPA, West Virginia University, Vice President and Chief Financial Officer; change of appointment to Executive Vice President for Finance and Administration, April 1, 2021. Appointment as Executive Vice President for Finance and Administration is at the pleasure of the Board of Trustees.

Education: MPA (2010) West Virginia University

Prior Employment:

2018 – Present:	Vice President & Chief Financial Officer, University of Louisville
2017 – 2018:	Associate Vice President of Health Affairs, University of Louisville
2016 – 2017:	Senior Associate Vice President for Administration and Finance, West Virginia University
2008-2016:	Senior Associate Vice President for Finance, WVU
2005-2008:	Associate Vice President for Finance, WVU
1992-2005:	Director of Budget and Financial Operations, Health Sciences Center, WVU
1986-1991:	Financial Management Analyst, Health Sciences Center, WVU

Salary Data:

Current salary: \$425,000
Proposed salary: \$425,000
Budget impact: \$0

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 RENOVATIONS IN THE
SCHOOL OF NURSING

Finance Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees authorize a \$1,467,000 project to renovate the second floor of the School of Nursing, funded by philanthropic gifts.

BACKGROUND:

The UofL School of Nursing K building, located at 555 S. Floyd Street, was constructed in 1990 and has a net assignable square foot space of 58,780. The building consists of classrooms, labs, and offices.

The purpose of the Phase 1 renovation of the 2nd floor is to create two interactive classrooms for students, which will include new finishes, furniture, and audio-visual equipment.

A \$1,000,000 pledged gift will fund Phase 1, and Phase 2 of the renovation/furnishings and the remaining \$467,000 of costs associated for A/V upgrades will be funded from either existing School of Nursing reserves (possibly using a lease purchase program) or from donor funds, should they materialize.

Project construction start date: February 2021
Project construction completion date: July 2021

The entire project was included in the Six-Year Capital Plan approved by the Board of Trustees on October 18, 2019 and submitted and approved by the Commonwealth in the 2020-2022 Capital Budget.

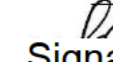
Per the Financial Transactions Policy approved on April 18, 2019, the Board of Trustees must review and approve capital projects estimated at \$500,000 or more.

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
CONCERNING RENOVATIONS IN THE
SCHOOL OF MEDICINE TOWER

Finance Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees authorize an \$800,000 project to renovate the fourth floor of the School of Medicine Tower, funded by the Office of the Dean of Medicine from the School of Medicine Reserve account.

BACKGROUND:

The UofL School of Medicine Tower, located at 319 Abraham Flexner Way, was constructed in 1970 and has a net assignable square foot space of 71,580. The building consists of classrooms, a vivarium, labs, and offices.

The purpose of the Phase 1 renovation of the 4th floor is to relocate the Speech and Audiology team out of the Med Dental Apartments building which is being taken out of use completely in late summer. This will include renovating lab space into office and student classrooms, including new furniture, finishes, lighting, IT, A/V, and updated corridors.

Project construction start date: Spring 2021
Project construction completion date: Fall 2021

Additional phases of the renovation project will be developed as funds are identified. The entire project was included in the Six-Year Capital Plan approved by the Board of Trustees on October 18, 2019 and submitted and approved by the Commonwealth in the 2020-2022 Capital Budget.


Per the Financial Transactions Policy approved on April 18, 2019, the Board of Trustees must review and approve capital projects estimated at \$500,000 or more.

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
REGARDING THE SIX-YEAR CAPITAL PLAN

Finance Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the list of projects, as [attached](#), be approved for submission to the Capital Planning Advisory Board as the university's 2022-2028 Capital Plan.

BACKGROUND:

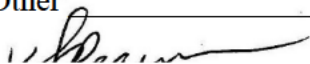
An [executive summary](#) precedes the list of projects.

COMMITTEE ACTION:

Passed X

Did Not Pass _____

Other _____


Signature on file _____

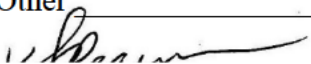
Assistant Secretary

BOARD ACTION:

Passed X

Did Not Pass _____

Other _____


Signature on file _____

Assistant Secretary



2022 – 2028 Capital Plan

The University of Louisville (UofL) is proud to present an overview of its 2022 – 2028 Capital Plan and capital project priorities. We will gladly respond to any inquiries or entertain suggestions.

1. UofL's 2022 – 2028 Capital Plan continues to focus on STEM (Science, Technology, Engineering and Mathematics) areas and Capital Renewal for our campus buildings. Our Deans and Campus Leadership have provided valuable insight to develop and prioritize the projects to benefit the university's colleges and those they serve. This level of investment is very ambitious and will depend on our ability to secure the necessary funding to advance individual projects.
2. The Council on Postsecondary Education (CPE) recognizes the university's needs of major capital renewal, maintenance and renovation. The CPE space study completed in April 2007 and updated in 2013 provided a high-level look at the space needs of the university and provided a valuable tool for planning an increase and modernization of classroom and lab space. We will be conducting a new space study in the near future. The estimated cost is over \$100 million and is part of the larger deferred maintenance issue the university is face with today.
3. UofL continues to achieve success with creating access to higher education (through enrollment) and student success (through graduation rates) along with fostering and sustaining an environment of inclusion to make the UofL a great place to learn, work and invest. Our project request will help us provide the learning environment and technology-rich tools to advance collaborative team-based learning and support the university's commitment to research and high quality academics.
4. Our highest priority is a \$50M project to upgrade our various STEM Instructional Buildings. There has been an increase in STEM degrees from 1923 in 2017/2018 to 2055 in 2019/2020. With the growth in degrees we are experiencing in STEM disciplines, this project is critical to our ability to satisfy demand and to provide the best contemporary teaching and learning environment for our students, hopefully most of whom will remain in Kentucky following graduation to fuel the Commonwealth's economy. This project will also contribute to improving UofL's position in the higher education marketplace and improve its performance-based funding model allocation. We are requesting state general fund support to advance this project.
5. Our second priority is a Capital Renewal, Replacement and Upgrade Pool of \$100M. Deferred maintenance at UofL and across the state is a significant issue. The backlog of deferred maintenance at UofL alone is estimated to be north of a HALF BILLION

dollars and is growing annually due to continuous under investment. With 52% of our buildings on the Belknap campus more than 50 years old, we are servicing our entire community from a physical facilities perspective that has serious performance issues and in many cases is functionally obsolete. Being able to address literally hundreds of known and quantified building deficiencies will drive energy efficiency, reduce future maintenance costs and greatly improve our ability to satisfy our educational, research and service responsibilities. We are respectfully requesting that the state provide a minimum of 50% general fund matching to the university's plan to secure agency bonds for the pool.

6. Rounding out UofL's top five capital project priorities are: 3) the Renovation of the School of Medicine's Building 55A for \$42M, 4) the Renovation of Health Sciences Center Instruction Building 55B for \$20M, and 5) the Renovation and Adaption Projects for Various Campus Buildings. UofL proposes a total of 118 projects, 94 of which are included in the first biennium.
7. Other plans that will greatly affect UofL's production of STEM graduates are projects for the Speed School of Engineering. Enrollment in the Speed School during the past five years has increased by causing its buildings to be over capacity. A previously completed Speed School Master Plan has documented the need to construct two new buildings, to renovate and expand two others, and to renovate a third. If accomplished over the horizon of this plan, we will have added 184,000 square feet to the Speed School building portfolio, which will permit enrollment to increase by another 20%, or from 2700 to 3240 engineering students.
8. Another very high priority project worth highlighting is our plan to develop a new College of Business Building for \$120 million. Other than authorization, we are not requesting state funding support for this project. We are currently working with potential donors to assist with funding for the building.
9. In summary, UofL's Six-Year Capital Plan includes projects that improve and/or further optimize every aspect of our facilities portfolio. These are:
 - Short-term critical needs
 - Upgrade Science, Technology, Engineering and mathematics (STEM) instructional buildings
 - Capital renewal, replacement and upgrades
 - New academic space:
 - Construct new College of Business building
 - Construct Speed School multidisciplinary building
 - Renovated academic space:
 - Renovate HSC Renovation (55B) – classrooms
 - Renovate chemistry teaching labs, auditorium and fume hoods.

- Research space:
 - Regional biocontainment lab renewal
 - Renovate and renew Research Facilities and equipment
 - Renovate and renew building 55A – classrooms and labs

- Current and future University wide initiatives include a new strategic plan and a comprehensive, integrated master plan. To realize the projects requested, UofL will continue to explore a variety of funding sources, including philanthropic gifts, federal grants, restricted funds and state funding.

10. We respectfully request support for authorizing each proposed project, allowing us to move forward with implementation as funding is been secured.

11. Thank you for your time and contributions to both UofL and the Commonwealth.

University of Louisville
2022-2024 Capital Plan

Biennium	Priority	College/Department	Project Title	GF / AB / FF	Restricted Funds	Other	Total Amount
2022-2024	1	Arts and Science	Upgrade STEM Instructional Buildings	50,000,000			50,000,000
2022-2024	2	Facilities	Capital Renewal Replace and Upgrade Pool	100,000,000			100,000,000
2022-2024	3	School of Medicine	Renovate School of Med. Building 55A		42,000,000		42,000,000
2022-2024	4	School of Medicine	Renovate HSC space - 55B		20,000,000		20,000,000
2022-2024	5	College of Business	Construct - College of Business Building	40,000,000		80,000,000	120,000,000
2022-2024	6	Facilities	Renovation and Adaption Projects for Various Campus Buildings		50,000,000		50,000,000
2022-2024	7	School of Nursing	NEW-Renovation of K building - Nursing School		14,000,000		14,000,000
2022-2024	8	Student Affairs	Career Center Relocation		1,512,500		1,512,500
2022-2024	9	Facilities	Construct Belknap Third Street Improvement		2,180,000		2,180,000
2022-2024	10	Facilities	Belknap Brandeis Corridor Improvements		3,100,000		3,100,000
2022-2024	11	Facilities	P3 Steam Plant Monetization Agreement		-		-
2022-2024	12	School of Medicine	Renovate Vivarium Facilities		75,000,000		75,000,000
2022-2024	13	School of Medicine	NEW-Vivarium Equipment Pool		20,000,000		20,000,000
2022-2024	14	Speed School	P3 - Louisville Automation and Robotics Research Institute - LARRI			5,500,000	5,500,000
2022-2024	15	Speed School	Lease - LARRI Building		-		-
2022-2024	16	School of Medicine	Renovate Fresh Tissue and Morgue		2,000,000		2,000,000
2022-2024	17	Student Affairs	International Center Renovation		3,152,517		3,152,517
2022-2024	18	Student Affairs	Improve Housing Facilities Pool		10,000,000		10,000,000
2022-2024	19	Arts and Science	Chemistry Fume Hood Redesign, Phase II		9,750,000		9,750,000
2022-2024	20	Arts and Science	Renovate Chemistry Teaching Laboratories and Auditorium		3,960,000		3,960,000
2022-2024	21	Business Services	Renovate Parking Structures		3,600,000		3,600,000
2022-2024	22	Business Services	Resurface and Repair Parking Lots		2,500,000		2,500,000
2022-2024	23	Business Services	New-Belknap Campus Parking Garage (1600 Cars)		34,229,000		34,229,000
2022-2024	24	College of Business	Renovate College of Business Classrooms		2,000,000		2,000,000
2022-2024	25	College of Education	College of Education - HVAC Upgrade		6,000,000		6,000,000
2022-2024	26	Law School	NEW-Law School-HVAC		6,715,000		6,715,000
2022-2024	27	School of Music	Music School HVAC		8,500,000		8,500,000
2022-2024	28	Information Technology	Purchase - Networking System		8,000,000		8,000,000
2022-2024	29	Information Technology	Purchase - Fiber Infrastructure		3,500,000		3,500,000
2022-2024	30	Information Technology	Purchase Computing Research Infrastructure		7,000,000		7,000,000
2022-2024	31	Information Technology	Purchase Identity Management		2,000,000		2,000,000
2022-2024	32	Information Technology	Purchase - Computer Processing System and Storage		3,500,000		3,500,000
2022-2024	33	Information Technology	Purchase - Security and Firewall Infrastructure		3,000,000		3,000,000
2022-2024	34	Library	Renovate - Ekstrom Library		57,200,000		57,200,000
2022-2024	35	Law School	Renovate - Law School		50,000,000		50,000,000
2022-2024	36	Student Affairs	Public/Private Partnership Residence Hall			51,000,000	51,000,000
2022-2024	37	Student Affairs	NEW-Purchase Housing Facilities		75,000,000		75,000,000
2022-2024	38	Student Affairs	NEW-Lease Housing Facilities		10,000,000		10,000,000

University of Louisville
2022-2024 Capital Plan

2022-2024	39	School of Medicine	Renovation Gross Anatomy Lab		1,852,450		1,852,450
2022-2024	40	Dental School	Renovate Dental School Admin Space		1,000,000		1,000,000
2022-2024	41	Facilities	Replacement - Building HVAC		25,000,000		25,000,000
2022-2024	42	School of Medicine	Renovation - Exterior Envelope Replacement-55A		15,000,000		15,000,000
2022-2024	43	Facilities	Construct - Administrative Office Building		9,000,000		9,000,000
2022-2024	44	Facilities	Construct Utility Infrastructure Upgrade		21,975,000		21,975,000
2022-2024	45	Facilities	Purchase Land		15,000,000		15,000,000
2022-2024	46	Facilities	Renovate-Guaranteed Energy Savings		10,000,000		10,000,000
2022-2024	47	Student Affairs	Dormitory Acquisition		41,148,845		41,148,845
2022-2024	48	Speed School	Speed School Multidisciplinary Engineering Bldg #1		65,000,000		65,000,000
2022-2024	49	Speed School	NEW-Renovate - Speed School Research Building		5,000,000		5,000,000
2022-2024	50	Student Affairs	Renovate - Unitas Resident Hall		22,300,000		22,300,000
2022-2024	51	School of Music	Renovate - School of Music		7,500,000		7,500,000
2022-2024	52	Arts and Science	Renovate Natural Science Building		30,000,000		30,000,000
2022-2024	53	Arts and Science	Renovate Life Sciences Building Vivarium		3,470,800		3,470,800
2022-2024	54	Arts and Science	Renovation Gottschalk Hall		2,003,738		2,003,738
2022-2024	55	Arts and Science	Renovation Humanities Bldg		6,500,000		6,500,000
2022-2024	56	Facilities	Construct Belknap Century Corridor Improvement		1,250,000		1,250,000
2022-2024	57	Facilities	Construct Belknap Storm Water Improvements		5,000,000		5,000,000
2022-2024	58	Facilities	Renovate Belknap Physical Plant Building		2,000,000		2,000,000
2022-2024	59	School of Medicine	Renovate Flexner Way Mall		2,500,000		2,500,000
2022-2024	60	Facilities	Renovation - Office Building - Urban and Public Affairs		5,000,000		5,000,000
2022-2024	61	Student Affairs	Artificial Turf Field for Intramural		1,215,000		1,215,000
2022-2024	62	Athletics	Lease - P3 Housing - Crum Hall			-	-
2022-2024	63	Athletics	Expand Patterson Baseball Stadium/Construct Indoor Facility			16,000,000	16,000,000
2022-2024	64	Athletics	Replace Electronic Video Boards			10,000,000	10,000,000
2022-2024	65	Athletics	Construct - Athletics Office Building			7,500,000	7,500,000
2022-2024	66	Athletics	Construct - Athletic Grounds Building			1,550,000	1,550,000
2022-2024	67	Athletics	Football Practice Field Lighting			2,000,000	2,000,000
2022-2024	68	Athletics	Replace Artificial Turf Field III			1,250,000	1,250,000
2022-2024	69	Athletics	Replace Artificial Turf Field IV			1,250,000	1,250,000
2022-2024	70	Athletics	Expand Ulmer Stadium / Construct Indoor Facility			8,000,000	8,000,000
2022-2024	71	Athletics	NEW-Athletics / Construct Natatorium			25,000,000	25,000,000
2022-2024	72	Athletics	NEW-Athletics / Basketball/Lacrosse Practice Facility Expansion			25,000,000	25,000,000
2022-2024	73	Athletics	NEW-Expand - Marshall Center Complex			5,000,000	5,000,000
2022-2024	74	Athletics	NEW-Renovate - Cardinal Football Stadium			25,000,000	25,000,000
2022-2024	75	Athletics	NEW-Renovate - Cardinal Park			8,000,000	8,000,000
2022-2024	76	Athletics	NEW-Renovate - Bass Rudd Tennis Center			3,000,000	3,000,000
2022-2024	77	Athletics	NEW-Renovate - Garvin Brown Boathouse			2,000,000	2,000,000

University of Louisville
2022-2024 Capital Plan

2022-2024	78	Athletics	NEW-Renovate - Marshall Center			1,000,000	1,000,000
2022-2024	79	Athletics	NEW-Renovate - Golf Club - Shelby County			1,000,000	1,000,000
2022-2024	80	Athletics	NEW-Renovate - Lynn Soccer Stadium			1,000,000	1,000,000
2022-2024	81	Athletics	NEW-Renovate - Thornton's Academic Center			1,000,000	1,000,000
2022-2024	82	Athletics	NEW-Renovate - Trager Football Practice Facility			1,000,000	1,000,000
2022-2024	83	Athletics	NEW-Renovate - Patterson Baseball Stadium			1,000,000	1,000,000
2022-2024	84	Athletics	Capital Renewal Athletic Venues			7,500,000	7,500,000
2022-2024	85	Athletics	NEW-Practice Bubble			4,000,000	4,000,000
2022-2024	86	Athletics	NEW - Indoor Facility			15,000,000	15,000,000
2022-2024	87	Athletics	Renovation - Cardinal Stadium Club Upgrades			5,000,000	5,000,000
2022-2024	88	Athletics	Demolish and Construct - Golf Maintenance/Chemical Building			2,000,000	2,000,000
2022-2024	89	Athletics	Construct - Athletics Village			90,000,000	90,000,000
2022-2024	90	Athletics	Replacement - Seats in Athletic Venues			7,000,000	7,000,000
2022-2024	91	Athletics	Athletics enhancements at new dormitory			6,000,000	6,000,000
2022-2024	92	Athletics	NEW-Expand and Renovate - Wright Natatorium			10,000,000	10,000,000
2022-2024	93	Athletics	Replace Cardinal Stadium Seats - Painting seats			6,000,000	6,000,000
2022-2024	94	Business Services	Upgrade the Physical Access Control System		3,500,000		3,500,000
2022-2024	95	School of Medicine	New Medical Office/Lab Building		80,000,000		80,000,000
2024-2026	96	Arts and Science	Renovate Schneider Hall		21,800,000		21,800,000
2024-2026	97	College of Education	Expand and Renovate College of Education Bldg		59,250,000		59,250,000
2024-2026	98	Delphi	New-Shelbyhurst Academic Bldg & Conference Center		5,596,000		5,596,000
2024-2026	99	Delphi	Renovate Burhans Hall		18,000,000		18,000,000
2024-2026	100	Facilities	Shelbyhurst Tech Center/Conf Facility		20,500,000		20,500,000
2024-2026	101	Facilities	Shelbyhurst Technology/Office Bldg		43,050,000		43,050,000
2024-2026	102	Kent School	NEW-Renovate Patterson Hall		2,697,635		2,697,635
2024-2026	103	Library	Robotic Book Retrieval System Expansion - Ekstrom Library Project		4,900,000		4,900,000
2024-2026	104	School of Public Health	Expand School of Public Health & Info Sciences		11,600,000		11,600,000
2024-2026	105	Speed School	Renovate Ernst Hall		27,500,000		27,500,000
2024-2026	106	Speed School	Speed School Multidisciplinary Engineering Bldg #2		48,202,530		48,202,530
2026-2028	107	Arts and Science	Renovate HPES/Studio Arts Building		9,850,000		9,850,000
2026-2028	108	Arts and Science	Renovate Dougherty Hall		9,250,000		9,250,000
2026-2028	109	Arts and Science	Renovate Belknap Playhouse		5,500,000		5,500,000
2026-2028	110	Business Services	Upgrade Parking Hardware and Software		2,600,000		2,600,000
2026-2028	111	Business Services	New- Shelby Campus Parking Garage (500 Cars)		10,918,000		10,918,000
2026-2028	112	Delphi	Renovate Founders Union Hall		17,000,000		17,000,000
2026-2028	113	Facilities	Belknap Center Place Plaza		8,840,000		8,840,000
2026-2028	114	Facilities	Shelbyhurst Research & Dev. Bldg		50,000,000		50,000,000
2026-2028	115	Kent School	Renovate - Oppenheimer Hall		4,500,000		4,500,000
2026-2028	116	Speed School	Renovate and Expand Sackett Hall		24,894,376		24,894,376

University of Louisville
2022-2024 Capital Plan

2026-2028	117	Speed School	Renovate - W.S. Speed Building		5,882,207		5,882,207
2026-2028	118	Student Affairs	Intramural Field Complex		7,780,000		7,780,000
			GRAND TOTAL 2022-2028 CAPITAL PLAN	190,000,000	1,341,725,598	435,550,000	1,967,275,598

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE PURCHASE OF AN
ELECTRONIC RESEARCH ADMINISTRATION SYSTEM

Finance Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees authorize the Executive VP for Research and Innovation to purchase a subscription for an electronic research administration system through the vendor Cayuse, at an approximate cost of \$525,000. (\$327,000 first year subscription and \$198,000 implementation costs)

BACKGROUND:

The current administrative system in the Office of Research and Innovation is not adequate to comprehensively support the research enterprise in terms of grant proposal submissions and award administration, research compliance and best practices. Partnership with Cayuse, LLC, will provide a cloud-based platform that will support researchers and enable UofL to increase its research productivity, rankings, and reputation.

The Executive Vice President for Research and Innovation and university research community will have enhanced ability to administer research requirements and integrations to improve overall efficiency and productivity and to support compliance efforts.

Funding is being provided by the Office of Research and Innovation.

Year 1 – approximately \$327,000 first year subscription and \$198,000 implementation cost (plus additional hourly professional fees for data migration)
Year 2 – approximately \$340,000
Year 3 – approximately \$354,000

Per the Financial Transactions Policy approved on April 18, 2019, the Board of Trustees must review and approve financial transactions not provided for in the annual operating budget with a value in excess of \$250,000.

The Executive Vice President for Research and Innovation 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

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE BEQUEST OF AN ESTATE GIFT TO THE
J.B. SPEED SCHOOL OF ENGINEERING

Finance Committee – March 18, 2021
Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve a request for an exception to the UofL Foundation, Inc., board policy with respect to a new estate gift to the Speed School of Engineering, thereby designating the entire amount of the gift as current use funds.

BACKGROUND:

The Estate of Dr. Spurgeon Shih-Chung Chen has bequeathed \$265,000 to the J.B. Speed School of Engineering. Dean Emmanuel Collins has requested this amount be exempted from the UofL Foundation Board Policy to quasi-endow any bequest in excess of \$100,000.

The exception would allow the full amount of funds to be used immediately to help pay for the renovation of the approximately 10,000 sq. ft. space at 1940 Arthur St, Louisville that was formerly occupied by the Additive Manufacturing Institute for Science and Technology's workforce development center. The space will become the new Louisville Automation and Robotics Research Institute (LARRI), the creation of which was approved by the Board of Trustees on April 23, 2020. See [attached](#) memorandum for more detailed information.

Upon approval by the Board of Trustees, the request will be made to the UofL Foundation Board of Directors.

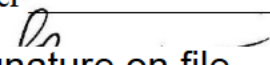
The Executive Vice President and University Provost joins the president in making this recommendation.

COMMITTEE ACTION:

Passed X

Did Not Pass _____

Other _____

 Signature on file _____

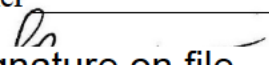
Assistant Secretary

BOARD ACTION:

Passed X

Did Not Pass _____

Other _____

 Signature on file _____

Assistant Secretary

MEMORANDUM

TO: Neeli Bendapudi, President

FROM: Emmanuel G. Collins, Dean, J. B. Speed School of Engineering

CC: Beth Boehm, Provost; Dan Durbin CFO; Jasmine Farrier, VP for Advancement

DATE: March 12, 2021

SUBJECT: Estate of Dr. Spurgeon Shih-Chung Chen
Request for Exemption from ULF Policy of Placing Unrestricted Bequests of
\$100K or more in a Quasi-Endowment

By this memo, I am requesting that the entire realized bequest from the Estate of Dr. Spurgeon Shih-Chung Chen, \$265,000 be granted an exception from the University of Louisville Foundation Board's policy to quasi-endow any bequest in excess of \$100,000. The funds will be used immediately to help pay for the renovation of the approximately 10,000 sq. ft. space at 1940 Arthur St, Louisville that was formerly occupied by the Additive Manufacturing Institute for Science and Technology's workforce development center. The University of Louisville Foundation owns this property. The space will be occupied by the Louisville Automation and Robotics Research Institute (LARRI), one of the strategic priorities of the Speed School of Engineering and the University.

The University Planning, Design & Construction department estimates that the cost of renovating the space and providing appropriate office and laboratory equipment will be approximately \$300,000. The costs that exceed the \$265,000 received from Dr. Chen's gift will be provided by existing Speed School resources such as Gain Share. This renovation is imperative, as the Speed School has hired for LARRI one faculty member who starts July 1 and is in the process of hiring two additional faculty members, who will also start in the summer. The Speed School has already made plans to support the salaries and operating expenses of the LARRI faculty. We have searched in earnest across campus and this is the only lab space available that can currently meet their needs. It will also be the home of their primary faculty offices. Additionally, the space will be occupied by one or more existing LARRI faculty. Speed School is very space limited and the Arthur St. Space is essential to its growth and the growth of LARRI, one of its most productive research centers. Thank you for your consideration.

Recommended for approval:

Emmanuel G. Collins
Dean, J. B. Speed School of Engineering

03/12/2021
Date

Signature on file
Neeli Bendapudi
President

03/12/2021
Date

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE PRESIDENT'S ORGANIZATIONAL CHART

Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the [attached](#) organizational chart, as required by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC).

BOARD ACTION:

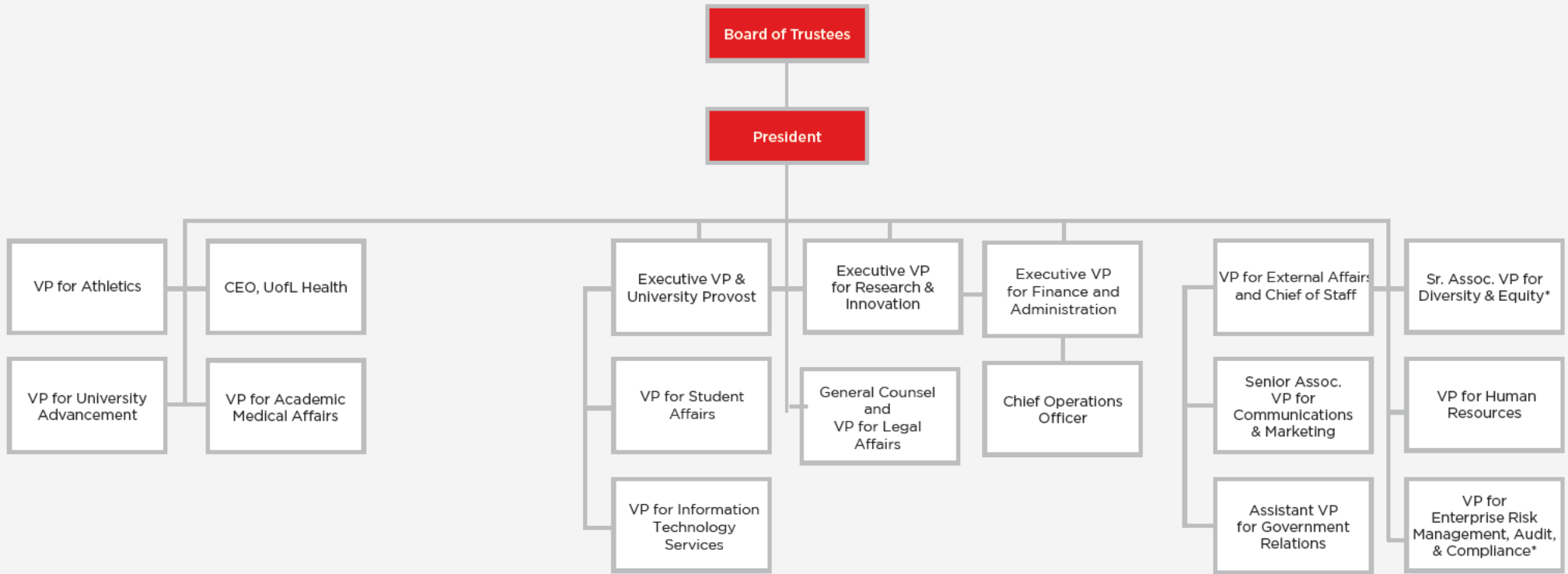
Passed _____

Did Not Pass _____

Other _____

Signature on file _____

Assistant Secretary



Special Assistants to the President:

Strategic Plan Implementation

University of Louisville Academic Units:

- Arts & Sciences
- Business
- Dentistry
- Education & Human Development
- Engineering
- Graduate School
- Law
- Libraries
- Medicine
- Music
- Nursing
- Public Health & Information Sciences
- Social Work

*Denotes an interim appointment.

RECOMMENDATION OF THE BOARD OF TRUSTEES
REGARDING DEGREE CANDIDATES FOR MAY 2021

Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve the Candidates for Degrees and Certificates to be conferred by the University of Louisville at its May 2021 Commencement Ceremonies (May 6 through May 9, 2021) and that the Board authorize the Executive Vice President and University Provost to approve the awarding of degrees to others who have been certified by the unit faculties as having completed the appropriate courses of study, but missed the deadline for Board action.

BOARD ACTION:

Passed X

Did Not Pass

Other

ls
Signature on file _____
Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES REGARDING
THE 2021 TRUSTEES AWARD

Board of Trustees – April 22, 2021

RECOMMENDATION:

The Academic and Student Affairs Committee recommends that the Board of Trustees approve Dr. Jason Gainous as the 2021 Trustees Award recipient.

BOARD ACTION:

Passed X

Did Not Pass

Other

 ls
Signature on file
Assistant Secretary

RECOMMENDATION TO THE UNIVERSITY OF LOUISVILLE
BOARD OF TRUSTEES CONCERNING AN AMENDMENT
TO THE 403(B) RETIREMENT PLAN

Board of Trustees – April 22, 2021

RECOMMENDATION:

The President recommends that the Board of Trustees approve an amendment to the university's 403(b) retirement plan, as described in the [attached](#) resolution.

BOARD ACTION:

Passed X

Did Not Pass

Other

 Pa Signature on file
Assistant Secretary

**AMENDMENT TO THE
UNIVERSITY OF LOUISVILLE 403(B) RETIREMENT PLAN**

THIS AMENDMENT by the University of Louisville (the “*University*”).

W I T N E S S E T H:

WHEREAS, the University maintains the University of Louisville 403(b) Retirement Plan (the “*Plan*”);

WHEREAS, under the provisions of the Plan, the University retained the right to amend the Plan; and

WHEREAS, the University has determined to amend the Plan to clarify that a Participant who no longer meets the definition of Eligible Employee, but who remains employed with the University or an Affiliated Organization, shall again become eligible to receive University Contributions under the Plan effective beginning the first day of the first pay period coinciding with, or if later next following, the date such Participant again becomes an Eligible Employee without first having to complete a new Eligibility Period;

NOW, THEREFORE, effective as of January 1, 2021, the University hereby agrees as follows:

1. Section 2.19(a) of the Plan is completely amended and restated to provide as follows:

“(a) For purposes of determining eligibility for University Contributions under Article 4 (other than as provided in Section 4.05(a)), the term “Eligibility Period” means the 12-consecutive month period during which an Employee performs services for the University or an Eligible Employer during each month, or, for those Employees employed on an academic year basis, the period constituting the academic year during which the Employee performs services for the University or an Eligible Employer during each month. In determining whether an Employee has performed an Eligibility Period with an Eligible Employer, the definition of Employee and this definition shall be applied by substituting the Eligible Employer for the University to determine if the requirements of an Eligible Employer have been met.”

2. Section 4.05 of the Plan is completely amended and restated to provide as follows:

“Section 4.05

- (a) In the event that a Participant becomes ineligible to receive University Contributions because the Participant no longer meets the definition of an Eligible Employee under Section 2.17(a), but remains employed, such person shall again become eligible to receive University Contributions under the Plan effective beginning the first day of the first pay period coinciding with, or if later next following, the date such Participant again becomes an Eligible Employee (such date, the Eligible Employee’s “re-entry date”); provided that any such person shall not be required to again complete an Eligibility Period before becoming re-eligible to receive University Contributions under the Plan. During the period that begins on the date that such person ceases to meet the definition of an Eligible Employee under Section 2.17(a) and ends on the date immediately preceding such person’s re-entry date, no further University Contributions shall be made on behalf of such Participant. Such person may, however, continue to make Elective Deferrals so long as he or she satisfies the eligibility requirements of Section 2.17(b).

- (b) In the event a person employed by the University has never met the definition of an Eligible Employee for purposes of University Contributions, but later meets such definition, such person shall become eligible to participate on the Entry Date coinciding with, or if later, next following upon completion of an Eligibility Period.”

IN WITNESS WHEREOF, the University has caused this Amendment to be executed on the ___ day of March, 2021.

Reviewed as to Form & Legality:

Recommended:

Approved:
_Signature on file_____

University of Louisville Cardinal Antiracism Agenda (CARA)

V. Faye Jones, MD, PhD

Interim, Senior Associate Vice President for Diversity and Equity

Muriel Harris, PhD

Chair, Commission of Diversity and Racial Equality (CODRE)

UNIVERSITY OF
LOUISVILLE

Board of Trustees
April 22, 2021

Guiding Principles

CARDINAL

Let us be a university that is a **Community of Care**. Care for self, care for one another as the Cardinal Family and care for the community beyond. We are a community—not just a collection of individuals. We are a community—not just buildings connected by an HVAC system.

Accountability. We keep our promises. We own mistakes. We are accountable to the team.

Respect, Irrespective of position. We respect each other's humanity and dignity, no matter what our positions in the organization are. We also respect our right to differing and conflicting positions on issues. We will be a place that prepares students for ideas, not protects students from ideas.

Diversity and Inclusion. We celebrate diversity of thought, perspectives and life experiences. As our state motto declares: United We Stand, Divided We Fall. We want everyone, in the richness of all of their many unique and intersecting identities, to feel included in the Cardinal fold.

Integrity and Transparency. We will be true to our mission of an urban research university to create, disseminate and apply knowledge. Integrity is our collective commitment to make decisions with the best interests of our university in mind and to share the decision-making rationale and outcomes.

Noble Purpose. Each of us will identify for ourselves the way in which we make a difference. We must solve the problems of access and affordability to give everyone the opportunity to find and pursue their own noble purpose.

Agility. We will recognize that things change and when they do, we must change things. We know when adaptation in an organization does not keep pace with adaptation in the environment, the organization will not survive.

Leadership. We recognize management is a position but leadership is an activity. We will all behave as owners of the University of Louisville because we are. "We are UofL" is not just a hashtag or a slogan. It is our declaration of leadership and ownership.

Definition: Antiracism

- The active process of identifying and eliminating racism by changing systems, organizational structures, policies and practices and attitudes, so that power is redistributed and shared equitably

NAC International Perspectives: Women and Global Solidarity

- “Any idea that suggests the racial groups are equal in all their apparent differences—that there is nothing right or wrong with any racial group”

How to be an Anti-Racist, Ibram X. Kendi

Sample Student Data Metric: Graduation Rate

UofL 6-yr Graduation Rate¹ by Race/Ethnicity

	2010 Cohort		2011 Cohort		2012 Cohort		2013 Cohort		2014 Cohort	
	<i>n</i>	6-yr Graduation Rate	<i>n</i>	6-yr Graduation Rate	<i>n</i>	6-yr Graduation Rate	<i>n</i>	6-yr Graduation Rate	<i>n</i>	6-yr Graduation Rate
White	1,959	52.3%	1,992	55.5%	2,037	56.0%	2,164	59.4%	2,213	61.0%
Hispanic	97	57.7%	57	40.4%	96	54.3%	106	58.1%	109	53.2%
African-American	283	48.8%	287	49.6%	276	58.0%	282	55.5%	244	55.4%
Other	173	62.2%	175	54.0%	235	60.7%	253	55.8%	264	62.5%
Cohort Total	2,512	52.8%	2,511	54.4%	2,644	56.6%	2,805	58.6%	2,830	60.4%

Source: Official university degree files.

¹ Graduation rates are calculated using the Graduation Rate Survey (GRS) cohort (first-time, full-time, baccalaureate degree-seeking students). Percentages by race/ethnicity are calculated as a percentage of students of that race/ethnicity within the cohort and not as a percentage of the cohort total. Part-time students and transfer students are excluded from the cohort. Valid exclusions defined by the US Department of Education (military service, missionary service, death) are reflected in the 6-year graduation rate.

Sample Metric: UofL Climate Data

Definition	2018 Baseline (Overall)	White	Black/AA	Hispanic/ Latinx	Other
Overall employee perception on Climate Survey	2.98 (F18)	3.11 (F18)	2.80 (F18)	3.14 (F18)	2.99 (F18)
Employee perception of compensation and benefits	3.02 (F18)	3.09 (F18)	2.98 (F18)	3.08 (F18)	3.02 (F18)
Employee perception of diversity/inclusion	3.69 (F17)	3.75 (F17)	3.55 (F17)	3.83 (F17)	3.69 (F17)
Employee perception of work/life balance	3.37 (F17)	3.37 (F17)	3.49 (F17)	3.71 (F17)	3.37 (F17)
Employee perception of work environment	3.62 (F17)	3.65 (F17)	3.63 (F17)	3.92 (F17)	3.63 (F17)
Employee perception of leadership	3.51 (F18) MEDIAN	3.57 (F18)	3.49 (F18)	3.73 (F18)	3.51 (F18)
	3.36 (F18) MEAN	3.45 (F18)	3.25 (F18)	3.54 (F18)	3.36 (F18)

¹ 2018 sample size: 1,802 (response rate of 25.9%); includes 72.5% White, 7.9% Black/AA, and 1.6% Hispanic/Latinx
 2017 sample size: 1,903 (response rate of 27.5%); includes 77.2% White, 9.3% Black/AA, and 2% Hispanic/Latinx

Where we've been

- Education Trust
- Insight Into Diversity HEED Award-Champion Designation
- Most LGBTQ+ friendly university in the south – Campus Pride Index
- Cultural and Equity Center
- New Assistant/Associate Deans

Where we're headed

- Consistency between external recognitions and lived experiences of campus constituents
- Anti-racist principles and action embedded into every part of the institution
- DEI valued as a distinctive element of the Cardinal experience
- Intersectionality of work

Phase I
Pre-Plan:
Taskforce Composition and Subgroups
and Information Gathering

Phase II:
Develop Draft Report With Strategic
Recommendations

Phase III:
Finalization of CARA

Phase IV:
Create Systemic Implementation Plan
for CARA

Direction for Work : July and August 2020

July - November 2020

December 2020 – June 2021

July 2021 –

Team Leaders

- Craig Blakely
- Karan Chavis
- Dwayne Compton
- Fannie Cox
- Sherry Duffy
- Toni Ganzel
- Muriel Harris
- Vicki Hines-Martin

Team Leaders

- V. Faye Jones
- Irv Joshua
- Michael Mardis
- Mary Elizabeth Miles
- Teresa Reed
- Ryan Simpson
- Michael Wade Smith
- Diane Whitlock
- Lora Cornell
- Maria Tinnell

6 Priority Areas

- 1. Culture, Policies, Practices, and Procedures**
- 2. Equity in Work, Compensation, Professional Development, and Reward**
- 3. Curriculum and Instruction**
- 4. Images and Communication**
- 5. Recruitment and Retention of Diverse Talent**
- 6. University and Community Relationships**

Priority Areas: Culture, Policies, Practices, and Procedures

Codify the adoption of the University's commitment to support a culture of antiracism as a core institutional value in governance, policies and procedures.

Sample Action Steps:

- Review all policies and procedures (including the Red Book, HR, promotion and tenure, student governance, unit level policies, Board of Trustees policies, and others) using identity-based equity tools to assure that they are absent of provisions that disparately impact any identity group.
- Establish an Advocate Office to centralize the reporting, tracking, advocacy, accountability, and referrals for incidents of bias, racism or race-based discrimination impacting educational and residential experiences.

Priority Areas: Equity in Work, Compensation, Professional Development, and Reward

Ensure equitable distribution of work, compensation, and rewards for all university constituents that allow them to reach their full potential.

Sample Action Steps:

- Re-design criteria for annual workplans giving appropriate weighting for DEI and community engaged work with equivalency with other kinds of teaching, research, and service.
- Invest in professional development, mentoring/coaching and career development sponsorship to ensure all of our workforce no matter their position or identity, have equitable opportunity to reach their potential.

Priority Areas: Curriculum and Instruction

Ensure our campus-wide curriculum supports learning at undergraduate and graduate levels using an antiracism framework.

Sample Action Steps:

- Revise the Cardinal Core to support a more meaningful and required immersion in learning related to racism using an antiracism framework.
- Require an audit or intentional review of all instructional content to, when possible, embed content in support of antiracism.

Priority Areas: Images and Communication

Ensure that the University reflects an anti-racism stance in all images and communication to support its intent to create an inclusive and welcoming space.

Sample Action Steps:

- Establish a framework and implement an environmental audit to review all University images and communications to assure that the intent to create an anti-racist university is not undermined through these mediums.
- Regularly communicate to the University and Louisville community the status of achievement of the Cardinal Anti-Racism Agenda.

Priority Areas: Recruitment and Retention of Diverse Talent

Provide a structured process for recruitment and retention of faculty, staff, administrators, students, residents and post-doctoral trainees, that provides and supports professional development and advancement.

Sample Action Steps:

- Create specific recruitment and retention programs targeting BIPOC populations at all levels.
- Invest resources to support placement of spousal hires for candidates who receive employment offers in the faculty or professional staff and administrative positions.

Priority Areas: University and Community Relationships

Fully engage the structures for community engagement to provide learning opportunities for faculty, staff, students, residents, fellows and post-doctoral trainees to help promote anti-racism within our university.

Sample Action Steps:

- Invest in the Anne Braden Institute, CCTSJR, HSC Health and Social Justice Scholar Program and other UofL centers and programs that extend into the Louisville Metro Community and promote antiracism within our University.
- Fully engage the structures of the Signature Partnership to create more university stakeholder learning opportunities through community engagement responsive to community-directed needs.

Metrics – Disaggregate Data

Examples of types of data

- Student Data
 - Enrollment, Retention, Graduation
- Total Employment (faculty, staff, administrators)
 - Recruitment, Retention, Promotion
- Climate Data
 - UL Climate Survey
 - Great Places to Work Survey
- Metrics for Diversity
 - Gender diversity (%)
 - Education diversity (%)
 - Cultural diversity (%)
 - Race/Ethnicity (%)
 - Religion (%)
 - Language (%)
 - Nationality (%)

Source: Diversity and Inclusion: Strategy Scorecard with KPIs
<https://bscdesigner.com/diversity-and-inclusion.htm>

Create NEW Measures of Inclusion

Measuring Inclusion

- Employee surveys to create an Employee Inclusion Index
- Career path

Proxy metrics for Inclusion:

- Average length of employment (tenure) for diverse talent – the number of years a diverse talent stays in the company compared to the company's average tenure
- Promotion rate for diverse faculty and staff (%)

Other metrics to be identified

Source: Diversity and Inclusion: Strategy Scorecard with KPIs
<https://bscdesigner.com/diversity-and-inclusion.htm>

Outcomes

- CARA Report - including action plans for every strategy
- CARA Data Dashboard – making diversity data transparent and accessible
- CARA Cultural Impact – improving the lived experiences of all of our Cardinal family

Contributors to the CARA document

The Executive Committee of the Commission on Diversity and Racial Equality (CODRE) wishes to express thanks to the members of CODRE and the University community who were enlisted to join the creation of the Cardinal Anti-Racism Agenda.

Delaina Amos
Payton Atwood
Dereck Barr-Pulliam
Carcyle Barrett
Jim Begany
Shawn Blackston
Craig Blakely
D'Onte Blount
LaShara Renee Bonds
Jordan Branch
Brian Buford
Nefertiti Burton
Blaz Bush
Carson Byrd
Erica Camp
Valerie Casey
Karan Chavis
John Chenault
Dewey Clayton
Cynthia Clemons
Tawana Coates
Valerie Combs
Dwayne Compton

Tamekka Cornelius
Lora Cornell
Fannie Cox
Cherie Dawson-Edwards
Jason Deakings
Sherry Duffy
David Echeverria
Theo Edmonds
Katrina Elliott
Cathy Elliott
J'Lissabeth Faughn
Kiana Fields
Ralph Fitzpatrick
Antwuan Ford
Catherine Fosl
Michele Foster
Heather Fox
Sean Francis
Cynthia Ganote
Felix Garza
Bob Goldstein
Kimber Guinn
Leondra Gully

Lisa Gunterman
Nisha Gupta
Kaeleah Hampton
Muriel Harris
Patrick Harris
Marcus Hayes
Dawn Heinecken
Kristie Helm
Vicki Hines-Martin
Maliya Homer
Christina Howard
Theora Hudson
LaJa Hurt
Nat Irving
Trinidad Jackson
Susan Jenkins
Demitri Johnson-Cantu
Chris Jones
Faye Jones
Irv Joshua
Gary Lewis
Khotso Libe
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Colleen Martin
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Isiah Pantiere
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Tisha Pletcher
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Lexi Raikes
Teresa Reed
Ishwanzya Rivers

Aaron Rollins
Oliver Rollins
Amberli Seay
Charles Sharp
Amy Shoemaker
Nicole Sparling
Geneva Stark
Heather Storer
Angela Storey
Daniela Terson de Paleville
Tonia Thomas
Maria Tinnell
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CARA Workgroups

The construction of the Agenda would not have been achieved without the contribution and efforts of the Cardinal Anti-Racism Agenda workgroups. Gratitude is sincerely extended to the members of each workgroup.

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Questions and Comments

University of Louisville Cardinal Antiracism Agenda (CARA)

V. Faye Jones, MD, PhD

Interim, Senior Associate Vice President for Diversity and Equity

Muriel Harris, PhD

Chair, Commission of Diversity and Racial Equality (CODRE)

UNIVERSITY OF
LOUISVILLE

Board of Trustees
April 22, 2021

Finance/Budget Prep Update

**from Dan Durbin,
Vice President for Finance &
Administration/CFO**

April 22, 2021

University of Louisville
Summary of Financial Status Through February, 2021
Accrual Basis

Revenue and Expense Perspective:

The University continues to operate with a positive increase in Net Position

YTD Net Position is slightly above the prior year (which ended as essentially break-even)

Athletics YTD operating loss of \$10 mill - plans underway to avoid adverse impacts on University cash position

Total Revenues are nearly \$70 mill less than prior year

Athletics revenues are approximately \$38 mill less than prior

Clinical revenues are \$17 mill less primarily due to the Norton Pediatrics integration

UL Foundation revenues are \$13 mill less because we are requesting less support

Total Expenses are nearly \$70 mill less than prior year

Athletics expenses are approximately \$16 mill less than prior

Clinical expenses (ULRF) are less due to Norton Pediatrics integration

Other expenses (ex. travel) are suppressed due to COVID situation

Balance Sheet Perspective:

Liquidity is improving

Current Ratio stable

Both Total and Unrestricted Net Position positive - assets remain greater than liabilities

Management's Analysis:

Still trending toward expectations and budget

Athletics situation is known and under control

University of Louisville and Affiliated Corporations
A Component Unit of the Commonwealth of Kentucky
Statements of Revenues, Expenses, and Changes in Net Position
February 28, 2021 and 2020

	Through February		Difference	Variance
	FY 2021	FY 2020		
OPERATING REVENUES				
Gross student tuition and fees	\$ 315,005	\$ 308,950	\$ 6,055	2 %
Less: Discount	(49,242)	(48,498)	(744)	2 %
Net student tuition and fees	265,763	260,452	5,311	2 %
Clinical services and practice plan	178,546	195,398	(16,852)	(9)%
Federal grants and contracts	49,555	48,907	648	1 %
State and local grants and contracts	5,343	5,096	247	5 %
Nongovernmental grants and contracts	8,741	12,768	(4,027)	(32)%
Sales and services of educational departments	2,027	4,610	(2,583)	(56)%
Facilities and administrative cost recoveries	19,489	18,482	1,007	5 %
Auxiliary enterprises	10,094	11,951	(1,857)	(16)%
Intercollegiate athletics	33,663	61,938	(28,275)	(46)%
Other operating revenue	8,141	7,791	350	4 %
Total operating revenue	581,362	627,393	(46,031)	(7)%
OPERATING EXPENSES				
Instruction	159,720	188,866	(29,146)	(15)%
Research	93,984	99,964	(5,980)	(6)%
Public service	53,529	82,752	(29,223)	(35)%
Academic support	97,853	96,925	928	1 %
Student services	18,715	19,977	(1,262)	(6)%
Institutional support	52,991	53,049	(58)	(0)%
Operation and maintenance of plant	36,944	36,327	617	2 %
Scholarships and fellowships	81,262	72,361	8,901	12 %
Auxiliary enterprises	5,186	5,457	(271)	(5)%
Intercollegiate athletics	57,764	74,085	(16,321)	(22)%
Depreciation and amortization	35,216	33,152	2,064	6 %
Total operating expense	693,164	762,915	(69,751)	(9)%
Operating gain/(loss)	(111,802)	(135,522)	23,720	(18)%
NONOPERATING REVENUES (EXPENSES)				
State appropriations	102,503	102,854	(351)	(0)%
Gifts and donations	17,208	33,705	(16,497)	(49)%
Nonexchange grants and contracts	51,559	37,917	13,642	36 %
Contributions from University of Louisville Foundation, Inc.	18,852	31,828	(12,976)	(41)%
Investment income	412	2,046	(1,634)	(80)%
Realized and unrealized gain on investments	(269)	50	(319)	(638)%
Interest on capital asset-related debt	985	2,567	(1,582)	(62)%
Other nonoperating revenue (expense)	137	1,020	(883)	(87)%
Net nonoperating revenue	191,387	211,987	(20,600)	(10)%
Income (loss) before other revenue, expense, gains, and losses	79,585	76,465	3,120	4 %
Capital appropriations	55	3,259	(3,204)	(98)%
Capital gifts	6,294	4,437	1,857	42 %
Total other revenue	6,349	7,696	(1,347)	(18)%
Increase (decrease) in net position	85,934	84,161	1,773	2 %

University of Louisville and Affiliated Corporations
A Component Unit of the Commonwealth of Kentucky
Statements of Revenues, Expenses, and Changes in Net Position
February 28, 2021 and 2020

	2021				2020			
	Consolidated	UL	ULRF	ULAA	Consolidated	UL	ULRF	ULAA
OPERATING REVENUES								
Gross student tuition and fees	\$ 315,005	\$ 315,005	\$ -	\$ -	\$ 308,950	\$ 308,950	\$ -	\$ -
Less: Discount	(49,242)	(49,242)	-	-	(48,498)	(48,498)	-	-
Net student tuition and fees	265,763	265,763	-	-	260,452	260,452	-	-
Clinical services and practice plan	178,546	10,432	168,114	-	195,398	9,541	185,857	-
Federal grants and contracts	49,555	-	49,555	-	48,907	(59)	48,906	-
State and local grants and contracts	5,343	-	5,343	-	5,096	-	5,096	-
Nongovernmental grants and contracts	8,741	-	8,741	-	12,768	-	12,768	-
Sales and services of educational departments	2,027	1,545	482	-	4,610	4,028	582	-
Facilities and administrative cost recoveries	19,489	-	19,489	-	18,482	5	18,477	-
Auxiliary enterprises	10,094	10,094	-	-	11,951	11,951	-	-
Intercollegiate athletics	33,863	-	-	33,863	61,938	-	-	61,938
Other operating revenue	8,141	4,077	3,464	-	7,791	5,511	2,280	-
Total operating revenue	581,362	292,511	255,188	33,863	627,393	291,429	274,026	61,938
OPERATING EXPENSES								
Instruction	159,720	105,125	54,595	-	188,866	115,999	72,867	-
Research	93,984	22,443	71,541	-	99,964	26,839	73,125	-
Public service	53,529	6,334	47,195	-	82,752	13,834	68,918	-
Academic support	97,853	48,937	48,916	-	96,925	50,983	45,942	-
Student services	18,715	18,715	-	-	19,977	19,974	3	-
Institutional support	52,991	39,949	13,042	-	53,049	46,482	6,567	-
Operation and maintenance of plant	36,944	32,939	4,005	-	36,327	34,543	1,784	-
Scholarships and fellowships	81,262	26,674	54,588	-	72,361	27,426	44,935	-
Auxiliary enterprises	5,186	5,186	-	-	5,457	5,457	-	-
Intercollegiate athletics	57,764	(6,382)	-	64,146	74,085	(5,593)	-	79,678
Depreciation and amortization	35,216	26,187	3,568	5,461	33,152	24,035	3,652	5,465
Total operating expense	693,164	326,107	297,450	69,607	762,915	359,979	317,793	85,143
Operating gain/(loss)	(111,802)	(33,596)	(42,262)	(35,944)	(135,522)	(68,550)	(43,767)	(23,205)
NONOPERATING REVENUES (EXPENSES)								
State appropriations	102,503	102,503	-	-	102,854	102,854	-	-
Gifts and donations	17,208	(91)	2,427	14,872	33,705	(11)	904	32,812
Nonexchange grants and contracts	51,559	-	51,559	-	37,917	-	37,917	-
Contributions from University of Louisville Foundation, Inc.	18,852	18,852	-	-	31,828	31,828	-	-
Investment income	412	412	-	-	2,046	2,015	-	31
Realized and unrealized gain on investments	(299)	(16)	-	(253)	50	(18)	-	68
Interest on capital asset-related debt	985	1,053	-	(68)	2,567	2,701	-	(134)
Other nonoperating revenue (expense)	137	312	10	(185)	1,020	1,232	1	(213)
Net nonoperating revenue	191,387	123,025	53,996	14,366	211,987	140,601	38,822	32,564
Income (Loss) before other revenue, expense, gains, and losses	79,585	89,429	11,734	(21,578)	76,465	72,051	(4,945)	9,359
Capital appropriations	55	55	-	-	3,259	3,259	-	-
Capital gifts	6,294	-	-	6,294	4,437	-	-	4,437
Contributions from related entities	-	15,630	(20,202)	4,572	-	12,232	(10,632)	(1,600)
Total other revenue	6,349	15,685	(20,202)	10,866	7,696	15,491	(10,632)	2,837
Special Items	-	-	-	-	-	-	-	-
Increase (decrease) in net position	85,934	105,114	(8,468)	(10,712)	84,161	87,542	(15,577)	12,196
Difference From Prior Year								
Excluding Capital Revenues	3,120	17,378	16,679	(30,937)				
Including Capital Revenues	1,773	17,572	7,109	(22,908)				

University of Louisville and Affiliated Corporations
A Component Unit of the Commonwealth of Kentucky
Statements of Net Position
February 28, 2021 and 2020

					June 30		
	FY 2021	FY 2020	Difference	Percent	FY 2020	Difference	Percent
ASSETS							
Current Assets							
Cash and cash equivalents	\$ 252,129	\$ 149,732	\$ 102,397	68 %	\$ 142,291	\$ 109,838	77 %
Short-term investments	24,193	22,801	1,392	6 %	6,574	17,619	268 %
Deposit with bond trustee and escrow agent	5,746	24	5,722	23842 %	6,257	(511)	(8)%
Loans, accounts, and contributions receivable, net	77,834	67,975	9,859	14 %	72,138	5,496	8 %
Due from affiliates	7,035	11,046	(4,011)	(36)%	14,889	(7,854)	(53)%
Inventories	5,903	5,054	849	17 %	5,445	458	8 %
Investments held with University of Louisville Foundation, Inc.	2,165	5,547	(3,382)	(61)%	5,480	(3,295)	(60)%
Other assets	2,060	3,853	(1,793)	(47)%	8,038	(5,978)	(74)%
Total current assets	376,865	266,032	110,833	42 %	261,092	115,773	44 %
Noncurrent Assets							
Restricted cash and cash equivalents	32,398	(2,345)	34,743	(1482)%	48,865	(16,467)	(34)%
Deposit with bond trustee and escrow agent	20,025	20,933	(908)	(4)%	10,676	9,049	82 %
Loans, accounts, and contributions receivable, net	54,358	62,785	(8,427)	(13)%	50,340	4,018	8 %
Due from affiliates	23,237	6,744	16,493	245 %	40,237	(17,000)	(42)%
Other long-term investments	956	1,157	(201)	(17)%	14,166	(13,210)	(93)%
Other long-term assets	260	-	260	-	280	-	-
Capital assets, net	1,065,127	955,100	110,027	12 %	1,078,175	(13,048)	(1)%
Total noncurrent assets	1,196,361	1,044,374	151,987	15 %	1,243,019	(46,858)	(4)%
Total assets	1,573,226	1,310,406	262,820	20 %	1,504,111	69,115	5 %
DEFERRED OUTFLOWS OF RESOURCES							
	13,687	8,081	5,606	69 %	13,687	-	-
TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES	1,586,913	1,318,487	268,426	20 %	1,517,798	69,115	5 %
LIABILITIES							
Current Liabilities							
Accounts payable and accrued liabilities	93,113	77,591	15,522	20 %	88,551	4,562	5 %
Unearned compensation and wages payable	2,699	343	2,356	687 %	2,699	-	-
Advances	43,526	4,522	39,004	863 %	47,853	(4,327)	(9)%
Bonds and notes payable	23,854	23,995	(141)	(1)%	24,216	(362)	(1)%
Total current liabilities	163,192	106,451	56,741	53 %	163,319	(127)	(0)%
Noncurrent Liabilities							
Note payable to University of Louisville Foundation, Inc.	1,000	1,000	-	-	1,000	-	-
Unearned compensation and wages payable	1,246	6,565	(5,319)	(81)%	2,549	(1,303)	(51)%
Deposits	1,056	945	111	12 %	1,061	(5)	(0)%
Advances	6,989	4,623	2,366	51 %	6,991	(2)	(0)%
Amounts due to federal government for student loan programs	17,145	15,944	1,201	8 %	17,145	-	-
Other post-retirement benefits	74,239	64,730	9,509	15 %	-	-	-
Other long-term liabilities	6,130	49	6,081	12410 %	80,369	-	-
Bonds and notes payable	248,707	220,858	27,849	13 %	264,089	(15,382)	(6)%
Total noncurrent liabilities	356,512	314,714	41,798	13 %	373,204	(16,692)	(4)%
Total liabilities	519,704	421,165	98,539	23 %	536,523	(16,819)	(3)%
DEFERRED INFLOWS OF RESOURCES							
	65,829	82,129	(16,300)	(20)%	65,829	-	-
NET POSITION							
Net investment in capital assets	807,166	705,896	101,270	14 %	825,433	(18,267)	(2)%
Restricted:							
Nonexpendable	1,373	4,710	(3,337)	(71)%	1,349	24	2 %
Expendable	87,846	79,786	8,060	10 %	84,417	3,429	4 %
Unrestricted:	104,995	24,801	80,194	323 %	4,247	100,748	2372 %
Total net position	1,001,380	815,193	186,187	23 %	915,446	85,934	9 %
TOTAL LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION	\$ 1,586,913	\$ 1,318,487	\$ 268,426	20 %	\$ 1,517,798	\$ 69,115	5 %

FY 2022 Budget Preparation Update

As Reported to BOT Executive Committee on 3/18/21:

- Process has been underway since January
- University committees have been fully engaged throughout the entire process:
 - Budget Planning & Monitoring Committee engaged since October (for FY21 & 22 actions)
 - Tuition & Fee Committee evaluating rate options: pending forthcoming CPE guidance
 - Other subcommittees are engaged and working
- Colleges working to project credit hour enrollment and unit-based revenues & expenses (incl. Foundation)
- Timeline:
 - Revenue projections by April
 - Expense budgets by end of April
 - Board of Trustees budget workshop on 5/27
 - Board of Trustees action on budget, 6/24

Updated for April 22, 2021 Meeting:

- State Budget
 - Approved with \$3 mill increase (via Performance Funding)
 - 1 year only (applies to the \$3 mill increase also)
- Preliminary Enrollment/Tuition Revenue
 - “Ground up” through the colleges with EM verification
 - Appears stable with FY 21 levels
 - Estimated \$8.4 mill (gross) in growth over FY 21 budget (running through budget model)
- Other:
 - Units constructing specific revenue and expense projections
 - Finalizing “general” costs (ex. health insurance and utilities)
 - Process remains on schedule

University of Louisville
Summary of COVID-19 Related Assistance

Aid Program:	Exp. Date	Purpose		Award	Expended
Higher Education Emergency Relief Funds: Round 1 Awarded 5/5/2020				12,478,790	12,389,597
Student Aid	5/5/2021 + 1 yr	Provide direct emergency aid to students		6,239,395	6,239,395
Institutional	5/5/2021 + 1 yr	Defray expenses due to alternative course delivery		6,239,395	6,150,202
Higher Education Emergency Relief Funds: Round 2 Awarded 3/5/2021				20,434,285	6,328,588
Student Aid	3/5/2022 + 1 yr	Provide direct emergency aid to students		6,239,395	6,239,395
Institutional	3/5/2022 + 1 yr	Defray expenses related to COVID including technology costs, expense reimbursement, student aid, and lost revenue		14,194,890	89,193
Higher Education Emergency Relief Funds: Round 3 - NOT YET AWARDED + NO DOE RULES				est. 36,498,126	n/a
Student Aid	tbd	Provide direct emergency aid to students	est.	18,249,063	n/a
Institutional	tbd	Defray expenses related to COVID including technology costs, expense reimbursement, student aid, lost revenue, monitoring & supressing COVID, and student outreach	est.	18,249,063	n/a
Coronavirus Relief Fund (CRF) - State Pass Through				5,873,000	5,873,000
Institutional	12/31/2020	Reimbursement of costs to support revamped operations in response to Covid		5,873,000	5,873,000
Governor's Emergency Education Relief Fund - State Pass through				1,695,900	1,320,714
Institutional	6/30/2021	Expansion of remote learning and support services, support operational recovery and student mental health		1,695,900	1,320,714
Grand Total of Confirmed Awards				40,481,975	25,911,899
Grand Total of All (Including Pending)				76,980,101	

Actions Underway:

- Continue to identify and fund COVID-related costs from current awards (incl. contractual commitments, cleaning, testing, technology, & other)
- Identify lost revenue amounts for potential reimbursement (Housing, ELC, Athletics, Parking, Dining, & other) from newer rounds of funding

Funds received directlt from the Federal Government

Funds flowing through Sttae Government (from Federal sources)

Financial Interactions Between (and benefitting) UofL and UofL Health Cash Basis, in millions

July 1, 2020 - March 31, 2021

Source	Description	University		Notes	Impact	
		To	From		Cash	Net Position
UMC	Affiliation Agreement -GME	\$ 18.9		UMC reimbursement for resident cost	\$18.9	\$18.9
UMC	Hospital contracts	\$ 25.9		Academic support, Medical Director, Purchased Services, Other	\$25.9	\$25.9
ULP	Hospital contracts	\$ 0.3		Reimburse UofL for clinical expense	\$0.3	\$0.3
UMC	UMC Separation Agreement	\$ 2.5		UMC MOU Payment	\$2.5	\$2.5
UMC	Hospital Rent	\$ 5.6		Annual rent agreement of \$7.5 million	\$5.6	\$5.6
UMC	Partial ULH Margin Share	\$ 17.0		ULH Margin Share. Year 1 payment	\$17.0	\$17.0 (in FY20)
UMC	AAA - Academic Mission Support	\$ 5.6		Quarterly mission support under AAA	\$5.6	\$5.6
UMC	License / Rent agreement	\$ 43.2		Rent and License agreement	\$43.2	\$43.2
UL	Payments to ULP		\$ 5.4	Reimburse ULP for clinical expense	(\$5.4)	(\$5.4)
UL	ULP \$9.1m grant agreement		\$ 6.8	Return of clinical income to reimburse ULP clinical expenses	(\$6.8)	(\$6.8)
UL	ULP Rent Support		\$ 0.4	Support ULP rent in Atria Building	(\$0.4)	(\$0.4)
UL	Center for Primary Care support		\$ 0.2	Support to ULP for Center for Primary Care deficit	(\$0.2)	(\$0.2)
UL	IGT State match		\$ 43.2	IGT State match paid on behalf of ULH/Jewish	(\$43.2)	(\$43.2)
Total Impact of Related Party Payments		\$ 119.0	\$ 56.0		\$62.9	\$45.9