



Schedule for February 8, 2011
Board of Trustees

**Trustees are invited to attend all meetings.
Jefferson Room, Grawemeyer Hall**

1:00 p.m. Personnel Committee

**Immediately Board of Trustees
Following**

PERSONNEL COMMITTEE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

1:00 p.m., February 8, 2011
Jefferson Room – Grawemeyer Hall

Open Session Agenda

			Tab
I.	Call to Order	Scoppechio	
	• Approval of Minutes, January 13, 2011		1
II.	Executive Session		
	• Motion to recess to discuss personnel matters Pursuant to KRS 61.810(1)(f)	Scoppechio	
III.	Open Meeting Reconvenes	Scoppechio	
	• Report on executive session		
	• Appropriate action, if any		
IV.	Other Business		
V.	Adjournment		

Committee Members:
Debbie Scoppechio, Chair
Brent Fryrear, Vice Chair
Marie Abrams
Kevin Cosby
Mark Lynn
Frank Minnifield
Robert Staat

PERSONNEL COMMITTEE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

February 8, 2011

Executive Session Agenda

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I.	Call to Order	Scoppechio
II.	Personnel Matters	Willihnganz
	• Personnel Recommendations	2
	• Alumni Fellows Awards	3
III.	Adjournment	

BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

February 8, 2011
Jefferson Room, Grawemeyer Hall

Open Session Agenda

	Frazier	Tab
I. Call to Order		
II. Consent Agenda		
A. <u>Approval of Minutes</u>		
• Minutes from Board Meeting, 11/11/10		1
• Minutes from Executive Committee Meeting, 12/22/10		2
B. <u>From the Academic & Student Affairs Committee</u>		
• Approval of Revisions to Redbook Chapter 6		3
C. <u>From the Personnel Committee</u>		
• Approval of Temporary Medical Benefits Program		4
• Approval of Continuation of Dean, College of Business		5
• Approval of Changes to Personnel Documents for Kent School of Social Work		6
• Approval of Changes to Personnel Documents for Speed School of Engineering		7
• Approval of Personnel Recommendation, January and February		8
• Approval of Alumni Fellows Awards		9
III. Report of the President		
• Mid Year Progress Goals Update		
IV. Report of the Chair		
V. Adjournment		

MINUTES OF THE MEETING OF THE PERSONNEL COMMITTEE OF THE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

January 13, 2011

In Open Session

Members of the Personnel Committee of the University of Louisville Board of Trustees met on Thursday, January 13, 2011, at 2:49 p.m., in the Jefferson Room of Grawemeyer Hall, Belknap Campus, with members present and absent as follows:

Present Ms. Debbie Scoppechio, Chair
 Mr. Brent Fryrear
 Ms. Marie Abrams
 Dr. Kevin Cosby
 Dr. Mark Lynn
 Mr. Frank Minnifield
 Dr. Robert Staat

Other Trustees

Present: Ms. Sana Abhari
 Mr. Ron Butt
 Mr. Owsley B. Frazier
 Dr. Salem George
 Dr. Robert Curtis Hughes
 Judge Rebecca Jackson
 Ms. Augusta Brown Holland
 Ms. Brucie Moore
 Mr. Robert W. Rounsavall, III
 Dr. William Selvidge
 Ms. Phoebe Wood

From the
University:

Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. William Pierce, Interim Executive Vice President for Research
Ms. Angela D. Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance
Mr. Keith Inman, Vice President for University Advancement
Mr. Dan Hall, Vice President for Community Engagement
Mr. Larry Owsley, Vice President for Business Affairs
Dr. Sam Connally, VP for Human Resources
Ms. Susan Howarth, Director of Budgets
Ms. Terri Rutledge, Associate VP for Business Affairs
Mr. Jason Tomlinson, Associate VP for Finance

Ms. Anne Rademaker, Director of Financial Reporting and
University Accounting
Mr. John Drees, Associate VP for University Advancement
Mr. Mark Hebert, Director, Media Relations
Ms. Carolyn Cochran, Assistant to the Provost
Mrs. Kathleen Smith, Assistant Secretary
Ms. Trisha Smith, Director of Special Programs
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present, Chair Scoppechio called the meeting to order at 2:49 p.m.

Minutes Approved

Mr. Minnifield made a motion, which Dr. Lynn seconded, to approve the minutes of November 11, 2010. The motion passed.

II. Action Item: Approval of Temporary Medical Benefits Program

Provost Willihnganz reported this action would align salary and benefit protections available to faculty, Board-appointed administrators, and staff employees that vary based on employment status. Providing up to three months of continuing health benefits for regular staff employees (after Family & Medical Leave and Catastrophic Shared Leave are exhausted, if applicable) will promote equity in the level of support provided to staff employees who become disabled while in active service to the University and support the University's Great Places to Work initiative. Mr. Fryrear made a motion, which Ms. Abrams seconded, to approve the

President's recommendation that the Temporary Medical Disability Program be revised to provide up to three months of continuing health benefits for staff employees who become disabled after completing 12 months of continuous service.

The motion passed.

II. Action Item: Approval of Changes to Personnel Documents in the Kent School of Social Work and Speed School of Engineering

Provost Willihnganz summarized the recommended changes to the personnel documents in the Kent School of Social Work and the Speed School of Engineering. Ms. Abrams made a motion, which Mr. Fryrear seconded, to approve the

President's recommendation that the Board of Trustees

approve the revised Kent School personnel document in the form attached, to be effective immediately; and

approve the revised Speed School personnel document in the form attached, to be effective immediately.

The motion passed.

IV. Executive Session

Mr. Fryrear made a motion, which Mr. Minnfield seconded, to go into executive session at 2:50 p.m. The motion passed.

V. Open Session Reconvened

The open session reconvened at 3:00 p.m. Chair Scoppechio reported that the Committee discussed personnel matters in executive session. Dr. Lynn made a motion, which Ms. Abrams seconded, to approve the

President's recommendation that the following personnel recommendations be approved by the Board of Trustees.

COLLEGE OF ARTS AND SCIENCES

Wendy E. Pfeffer, Ph.D., Professor of Classical and Modern Languages; promotion from Assistant Dean to Associate Dean of Graduate Education, July 1, 2011. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

SCHOOL OF MEDICINE

Mostafa Fraig, M.D., Professor of Pathology and Laboratory Medicine (Term) and Professor of Medicine (Pulmonary, Critical Care, and Sleep Disorders Medicine) (Term); additional appointment as the William M. Christopherson Endowed Chair in Oncologic Pathology, March 1, 2011.

ADMINISTRATION

Donald G. Rizzo, M.S., Bradley University; Associate Vice President for Development, February 8, 2011. The appointment as Associate Vice President is at the pleasure of the Board of Trustees.

The motion passed.

Five Year Review, Dean, College of Business

Ms. Abrams made a motion, which Mr. Minnifield seconded, to approve the

President's recommendation that the Board of Trustees approve the continuation of Dr. R. Charles Moyer as Dean of the College of Business.

The motion passed.

VI. Adjournment

Dr. Staat made a motion, which Mr. Minnifield seconded, to adjourn the meeting at 3:05 p.m. The motion passed.

MINUTES OF THE MEETING OF THE PERSONNEL COMMITTEE OF THE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

January 13, 2011

In Executive Session

Present Ms. Debbie Scoppechio, Chair
Mr. Brent Fryrear
Ms. Marie Abrams
Dr. Kevin Cosby
Dr. Mark Lynn
Mr. Frank Minnifield
Dr. Robert Staat

Other Trustees

Present: Ms. Sana Abhari
Mr. Ron Butt
Mr. Owsley B. Frazier
Dr. Salem George
Dr. Robert Curtis Hughes
Judge Rebecca Jackson
Ms. Augusta Brown Holland
Ms. Brucie Moore
Mr. Robert W. Rounsavall, III
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From the
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Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. William Pierce, Interim Exec. Vice President for Research & Innovation
Ms. Angela D. Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance
Mr. Keith Inman, Vice President for University Advancement
Mr. Dan Hall, Vice President for Community Engagement
Mr. Larry Owsley, Vice President for Business Affairs
Dr. Sam Connally, VP for Human Resources
Ms. Carolyn Cochran, Assistant to the Provost
Mrs. Kathleen Smith, Assistant Secretary
Ms. Trisha Smith, Director of Special Programs
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Chair Scoppechio called the executive session to order at 2:52 p.m.

II. Personnel Matters

Monthly Personnel Recommendations

Provost Willihnganz briefed the Committee on personnel recommendations.

Continuation of Dean Charles Moyer, College of Business

Provost Willihnganz briefed the Committee on the five-year review and recommendation to continue Dean Moyer in the College of Business.

III. Adjournment

The executive session adjourned at 3:00 p.m.

RECOMMENDATION TO BOARD OF TRUSTEES

February 8, 2011 (Personnel Committee)
February 8, 2011 (Board of Trustees)

The President recommends:

That the following personnel recommendation be approved by the Board of Trustees.

ADMINISTRATION

Ann L. Coffey, B.A., University of Kentucky; Senior Executive Director of Advancement Operations, February 8, 2011. The appointment as Senior Executive Director is at the pleasure of the Board of Trustees.

Shannon Raye Turner, J.D.; termination of appointment as Assistant Vice President for Health Affairs, February 1, 2011.

**RECOMMENDATION TO THE BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE
NOMINEES FOR ALUMNI FELLOWS AWARD FOR 2011**

**Personnel Committee – February 8, 2011
Board of Trustees – February 8, 2011**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the following nominees for Alumni Fellows Award for 2011 as recommended by the Alumni Association:

**College of Arts and Sciences – Jane Greenebaum Eskind
College of Business – Robinson S. Brown, III
School of Dentistry – Robert McGuinn, D.M.D.
College of Education & Human Development –Maj. Kent Solheim
J.B. Speed School of Engineering – Yung T. Nguyen
Kent School of Social Work – Dr. Alfonso Batres
Louis D. Brandeis School of Law – Howard Fineman
School of Medicine – Dr. Larry Cook
School of Music – Terry Cravens
School of Nursing – Charlotte Ipsan**

2011 Alumni Fellows Nominations by School

College of Arts and Sciences – Jane Greenbaum Eskind

The first woman to win a statewide election in Tennessee, Jane G. Eskind was raised and educated in Louisville, Kentucky. She attended Brandeis University, married Richard Eskind, completed her undergraduate degree at the University of Louisville, and settled in Nashville in 1956. Following the birth of a daughter, Ellen, and a son, Billy, Eskind commenced an activist career as lobbyist for the Tennessee League of Women Voters from 1964 to 1969. She became a Democratic Party activist after deciding the nonpartisan position of the League hindered its efforts. From her beginnings as a campaign worker and member of the Democratic Women's club, her participation in party matters accelerated in the 1970s. In 1972 and 1976 Eskind represented Tennessee on the Democratic National Platform Committee. In 1974 she was elected to the Democratic State Executive Committee. Eskind made her first bid for public office in 1978, and by winning the Democratic primary for the U.S. Senate seat held by Republican Howard Baker Jr., she became the first woman to win either the Democratic or Republican nomination for statewide office. She did not defeat Baker in November.

In 1980 Eskind won a seat on the Public Service Commission, the first woman to win a statewide election in Tennessee. She later served as commission chair. In the 1986 Democratic primary for governor, Eskind placed second behind Ned McWherter, and in a 1987 special election she made an unsuccessful bid for Congress. In 1994 she became the first woman to chair the Tennessee Democratic Party. Within the party, Eskind has also been president of the Democratic Women's Club, a member of the Democratic House and Senate Council, the Tennessee Democratic Finance Council, the National Finance Committee, and the National Finance Council for President Clinton. She sat on the board of the Tennessee Federation of Democratic Women and functioned as a trustee of the National Victory Fund.

Over the last two decades, Eskind has served on committees of the Anti-Defamation League, the International Women's Forum, and as a charter member of the Women Executives in State Government. She also chaired the Tennessee Commission on the Status of Women from 1978 to 1980. More recently, she has been named trustee to the Vice-President's Residence Foundation and to the Brandeis University Board of Trust. A Nashville resident, she has provided time and energy to many groups and at present sits on the boards of Tennessee Tomorrow and NashvilleREAD and advises Nashville Cares, the Legal Aid Society, the Nashville Institute for the Arts, the League of Women Voters, the Kelly Miller Smith Institute on African American Church Studies, and New Leadership South, among other institutions. She has raised money for numerous not-for-profit groups and has received recognition and awards from various quarters.

College of Business – Robinson S. Brown, III

Robinson S. Brown III (Robbie) represents a very special breed of College of Business supporters: those who have reconnected with the college as a result of exceptional academic experiences enjoyed by their offspring.

When Robbie's son Robinson IV participated and excelled in the college's signature Entrepreneurship MBA program—including winning regional business plan competitions as part of a MBA student team—Robbie and his wife Libby took the lead in generating support and sponsorship for the college to host a national business plan competition. Today the competition they helped spark—The UofL Brown-Forman Cardinal Challenge—is recognized as one of the nation's finest new business concept competitions, and is a qualifying event to the international 'Super Bowl' of competitions, the Venture Labs Investment Competition (formerly Moot Corp.) They and other members of the Brown family continue to support the competition, which is now in its fourth year.

Due in part to their participation in the Cardinal Challenge and subsequent competitions, College of Business entrepreneurship students have since distinguished themselves in international competitions, regularly sharing honors with the finest entrepreneurial programs in the world.

Prior to his participation in the entrepreneurship program, Robbie—a two-degree graduate of the college—focused his giving on Prodigal Ministries, a second-chance program for prison inmates. His quiet manner and unassuming generosity belie the significance of his support and the tenacity of his commitments.

School of Dentistry – Robert McGuinn, D.M.D.

Dr. McGuinn has always been a contributing member to the Hinman Dental Society. This Atlanta based organization is one of the nation's most active in and well known organizations for providing continuing education for oral health providers and supporting dental education. In regards to the latter, Bob has always supported his *alma mater*, the University of Louisville School of Dentistry. Besides covering the cost of two of the teaching stations in the School's innovative Simulation Clinic, he and Penny have created and are funding endowments to provide scholarships for students from the state of Georgia; an annual cash award to a faculty member who has excelled in teaching; and funding to support dental students' annual "senior trip" to the Hinman Meeting. Dr. McGuinn is married to Penelope A. McGuinn; and has two daughters, Shaun McGuinn and Leslie M. McGuinn, D.M.D. He takes special pride and joy in witnessing his daughter Leslie following in his footsteps and becoming a Louisville dental graduate - Class of 2007.

Bob McGuinn is a unique individual and alumnus who contributes to the lives and futures of the people and things he loves. No one is more deserving of being named a University of Louisville Alumni Fellow.

College of Education & Human Development –Maj. Kent Solheim

Maj. Solheim received his B.S. in Occupational Training and Development in 2002 and his M.S. in Human Resource Education in 2008 from the University. He earned a Silver Star for his bravery during Operation Volcano II, the successful mission to capture a senior leader of the infamous Shiite militia, the Mahdi Army. He saved dozens of lives during the operation, but in the process lost his right leg.

He has also been awarded a Bronze Star Medal with two Oak Leaf Clusters, Purple Heart Medal, Meritorious Service Medal, and Army Commendation Medal with three Oak Leaf Clusters.

He and a fellow Green Beret participated in 12 Hours of Santos, an ultra endurance mountain bike challenge to raise funds for Special Operations Warrior Foundation (SOWF). He accomplished this with a prosthetic leg. They raised a total of \$14,000, which was \$4,000 above their intended goal.

Special note about SOWF. The Foundation provides college educations for the children of special operations personnel from the Army, Navy, Air Force and Marine Corps who fall in combat or training operations. SOWF also provides support for families so they can travel to be at the bedside of a severely wounded loved one. Kent Solheim was a recipient of SOWF, so this was his way of giving back.

J.B. Speed School of Engineering – Yung T. Nguyen

Yung Nguyen (pron: young win) was born and grew up in Saigon, Vietnam. After the fall of the South Vietnamese government in 1975, Mr. Nguyen endured several years under the harsh political system imposed by the Communist regime. Mr. Nguyen escaped to the U.S. to pursue the American dream, but the refugee's journey was difficult, dramatic and dangerous.

In 1980, Mr. Nguyen found a Cambodian guide to smuggle him to safe refuge in Thailand. He traveled on foot and bike through the jungles of Cambodia. Mr. Nguyen was the only member of his group to arrive safely in Thailand.

After almost two years in various refugee camps in Southeast Asia, Mr. Nguyen arrived in America with literally nothing, not even shoes on his feet. He made his home in Louisville, where his uncle, a former pilot in the South Vietnamese air force, had settled earlier. Mr. Nguyen's first job in this country was washing dishes at a Chinese restaurant in Louisville.

Mr. Nguyen furthered his education while attending Jefferson Community College and the University of Louisville. He earned a bachelor's degree in computer science in 1986, a master's degree in computer science in 1988, and a master's degree in mathematics in 1990. Mr. Nguyen worked for a decade at Electronic Systems USA as a software designer, project manager, and in his last position there as engineering department manager.

In 1993, a young Louisville woman was shot to death by a former boyfriend. He had been jailed for raping and assaulting her weeks before, but was released on bond without her knowledge. When Mr. Nguyen and his business partner, Mike Davis, heard about Mary Byron's murder, they decided to start the VINE Company to develop and market an automated computer system to give crime victims access to offender information 24 hours a day and automatically notify them by phone, pager, email, or fax upon an offender's release.

In five years, the VINE Company grew to 100 employees, who shared the founders' strong sense of purpose—helping victims of crime. The victim notification technology is now in use in more than 1200 counties in 36 states and in Canadian provinces. Mr. Nguyen and his partner at VINE shared an Ernst & Young 1997 Entrepreneur of the Year Award. Mr. Nguyen also won the 1998 Founder's Award from the Advanced Technology Council of Louisville, and several other honors from the University of Louisville.

After the 2000 presidential election recount controversy in Florida, Mr. Nguyen began to extensively research ways to resolve problems with voting machines. That work developed into his passion to lead the effort to make all precincts accessible to all voters. Mr. Nguyen invented the patented voting technology, called Inspire, and founded IVS, in 2002. IVS, LLC is a voting services company that specializes in accessible voting systems. IVS makes it easy and affordable for states and counties that use optical scan or other non-accessible voting systems to comply with new federal requirements for precinct-level accessibility.

Mr. Nguyen is the Founder and Chairman of Lac Viet, a non-profit program that provides after school and tutoring services to immigrant children and seeks to empower immigrant parents who speak limited English to get involved in their children's education. He and his wife, Vu, also a Speed graduate and partner in IVS, have three children, and live in Louisville.

Kent School of Social Work – Dr. Alfonso R. Batres

Dr. Alfonso Batres is the Chief Officer of the Department of Veterans Affairs Readjustment Counseling Service. He has direct oversight of the almost 300 Vet Centers providing readjustment counseling service to war zone veterans nationally. Vet Centers are located in all fifty states, District of Columbia, Puerto Rico, U.S. Virgin Islands, and Guam. As Chief Officer Dr. Batres also assists the Under Secretary for Health in policy issues effecting readjustment of veterans and their health care. Dr. Batres is a service-connected disabled Vietnam veteran.

In 2002, Dr. Batres received the Presidential Distinguished Service Rank Award for Senior Executives and had previously received the Presidential Meritorious Service Rank Award. He recently received the 'Aguila' Award from the Hispanic War Veterans of America for his double duty as a Vietnam combat veteran and care provider for our nation's veterans.

Dr. Batres received his BA in psychology from the University of Texas – El Paso in 1974, and his MSSW for the Kent School of Social Work at the University of Louisville in 1974. He earned his MA and Ph.D. in Psychology for the University of Colorado in 1981 and 1984 respectively. Dr. Batres also holds an appointment as Adjunct Assistant Professor of Medical and Clinical Psychology with the F. Edward Hebert School of Medicine, Uniformed Services University of the Health Sciences.

Dr. Batres started his civil service track in 1974 as an Army psychologist working with military families. Since that time Dr. Batres has become a national and international leader in pioneering the development and provision of services for veterans with combat related trauma.

He comes from a family with a proud history of military service to our nation, his father was a WWII veteran and his son Al is a veteran of Operation Desert Shield/Storm, having served as an Airborne Scout with the 82nd Airborne Division. He has a daughter Grace in San Antonio, Texas and is the proud grandfather of five children.

Louis D. Brandeis School of Law – Howard Fineman

Howard Fineman is Newsweek's senior Washington Correspondent and columnist, senior editor and deputy Washington Bureau Chief. He is also the author of "Living Politics," a column that began and continues on MSNBC.com and Newsweek.com and is now featured in the print magazine. An award-winning writer, Fineman also is an NBC News Analyst, contributing reports to the network and its cable affiliates. The author of scores of Newsweek cover stories, Fineman's work has also appeared in The New York Times, The Washington Post and The New Republic. Fineman authored his first book in 2008, *The Thirteen American Arguments: Enduring Debates That Define and Inspire Our Country*.

As a reporter and writer, Fineman ranges widely. Besides campaign-year cover stories, other projects have included: the rise of the religious right, the power of talk radio, race and politics, the Pledge of Allegiance controversy, the impact of digital technology on society and the influence of Hollywood on politics. He has interviewed business leaders such as Bill Gates, Steve Case, Steve Ballmer, Robert Rubin and Ted Turner and entertainment personalities such as Warren Beatty, Jane Fonda, and Jay Leno. Although Fineman now reports on TV exclusively for NBC, he has appeared on most major public affairs shows, including: Nightline, Face the Nation, Larry King Live, Fox News Sunday, Charlie Rose, and The NewsHour with Jim Lehrer. He was a regular panelist on PBS's Washington Week in Review, 1983-1995 and on CNN's Capital Gang

Sunday, 1995-1998. He worked with Ted Koppel to produce Nightline special reports on Ross Perot and Pat Robertson.

A native of Pittsburgh, Fineman began his journalism career at The Louisville Courier-Journal, covering the environment, the coal industry and state politics before joining the newspaper's Washington bureau in 1978. He moved to Newsweek in 1980, was named chief political correspondent in 1984, Deputy Washington bureau chief in 1993 and senior editor in 1995.

Fineman holds an A.B., Phi Beta Kappa, from Colgate, an M.S. in journalism from Columbia, and a J.D., in 1980, from the University of Louisville. His legal education included a year at the Georgetown University Law Center. He received Watson and Pulitzer Traveling Fellowships for study in Europe, Russia and the Middle East. He lives in Washington with his wife and their two children.

School of Medicine – Dr. Larry Cook

Dr. Cook received his undergraduate and medical degrees from the University of Louisville and has served on the faculty for more than three decades. He served as Chief of Neonatology, Professor and Chairman of the Department of Pediatrics, and Executive Vice President for Health Affairs.

For over three decades he drove the streets of Louisville at night to care for at-risk neonates in intensive care units throughout the city. There surely are thousands of former patients and many thousands of grateful parents and grandparents who are the beneficiaries of his service to these little patients.

He has also served with distinction in leading the pediatrics department, building the Kosair Children's Hospital, growing and nurturing the Faculty Practice Plan, and overseeing the Health Sciences campus during his service as Executive Vice President for Health Affairs.

School of Music – Terry Cravens

Dr. Terry Stephen Cravens, Professor of Trombone, received his BM in 1963 and his MM in 1965 from the University of Louisville.

Between 1963 and 1965 Dr. Cravens was a member of Phi Mu Alpha, the School of Music Student Council, Marching Band, Bardstown Road Presbyterian Church choir and the Harvey Browne Presbyterian Church. He was also in a Barbershop Quartet that won the first prize in the university-wide contest. He directed the Second Presbyterian Church choir during the summer of 1965. He also received a Distinguished Alumni Award in 1991.

Terry Cravens has been a steadfast supporter of the University of Louisville for over forty years. Although he lives in Los Angeles, he returns to Louisville when possible to attend

functions on and off campus. He is one of the most active classical trombonists in Los Angeles and recently was chosen by the entire USC music faculty for their most prestigious teaching award. He is currently the Professor of Music at the University of Southern California and Chairman of the Department of Winds and Percussion. He is married to Mona H. Cravens, a 1966 UofL graduate of music.

School of Nursing – Charlotte Ipsan

Charlotte Ipsan received her MS in nursing in 1998 from the University of Louisville, and with over twenty-five years experience in the nursing profession, she has distinguished herself as an outstanding practitioner, educator, and leader. Charlotte began her career as a nurse manager in the Neonatal Intensive Care Unit at Norton Healthcare. From there she went on to manage the nurse practitioner staff for Neonatal Associates. In 2005 Charlotte joined the University of Louisville School of Nursing faculty where she was responsible for didactic and clinical instruction and education of graduate students for neonatal nurse practitioners. In 2008, Charlotte received the graduate faculty of the year award. In 2009 Charlotte was promoted to Vice President of Kosair Children's Medical Center and Vice President of Pediatric Outreach at Kosair Children's Hospital. Through her scholarship, service, and leadership, Charlotte has made significant contributions to the university and the profession of nursing as a whole.

BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

In Open Session

Members of the University of Louisville Board of Trustees met on Thursday, November 11, 2010, in the Jefferson Room, Grawemeyer Hall, Belknap Campus, with members present and absent as follows:

Present: Mr. Owsley B. Frazier, Chair
Ms. Sana Abhari
Ms. Marie Abrams
Mr. Ron Butt
Dr. Kevin Cosby
Mr. Brent Fryrear
Dr. Salem George
Ms. Augusta Brown Holland
Dr. Robert Curtis Hughes
Judge Rebecca Jackson
Dr. Mark Lynn
Mr. Frank Minnifield
Ms. Brucie Moore
Mr. Robert Rounsavall, III
Ms. Debbie Scoppechio
Dr. William Selvige
Dr. Robert Staat

Absent: Mr. Jonathan Blue
Mr. J. Chester Porter
Ms. Phoebe Wood

Guests: Mr. Mark Carter, DDFKY
Ms. Mary McKinley, CPA, BKD
Prof. C. Patrick McGraw
Mr. David Bryce Barber (Legal Counsel for McGraw)
Mr. Dirk Bedarff (Bond Counsel)
Ms. Melissa Bork, Greenbaum, Doll & McDonald
Mr. Holland McTyeire, V, Greenbaum, Doll & McDonald

From the University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. Larry Cook, Executive Vice President for Health Affairs
Dr. William Pierce, Interim Exec. Vice President for Research & Innovation
Ms. Angela Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance

Mr. Keith Inman, Vice President for University Advancement
Mr. Larry Owsley, Vice President for Business Affairs
Mr. Dan Hall, Vice President for Community Engagement
Mr. David Barker, Associate VP for Audit Services
Dr. Mordean Taylor-Archer, Associate University Provost
Mr. Mark Hebert, Director of Media Relations
Ms. Susan Ingram, Director of Budgets
Mr. John Drees, Associate VP, Communications & Marketing
Mr. Jason Tomlinson, Asst. Vice President for Finance
Ms. Susan Magness, Associate Controller
Ms. Anne Rademaker, Dir., Financial Reporting and University Accounting
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Diane Whitlock, Office of the Provost
Ms. Kathleen Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present, Chair Frazier called the meeting to order at 2:10 p.m.

II. Consent Agenda

A. Approval of Minutes

- Minutes from Special Board Meeting, 10/14/2010

B. From the Personnel Committee

- Approval of Monthly Personnel Recommendations
- Approval of Libraries Personnel Document
- Approval of Music Policy Manual

C. Approval of Candidates for Degrees, December 2010

D. Approval of Security Clearance and Managerial Group

Chair Frazier read the consent agenda. Hearing no objection, Ms. Abrams made a motion, which Dr. Hughes seconded, to approve the consent agenda. The motion passed.

III. Action Item: Authorize the President to Finalize Discussions and Execute A Non-binding Letter of Intent to Create an Integrated Health Service to Improve the Quality of Care for the People of Kentucky

President Ramsey said discussions had taken place for approximately a year to create an integrative health service organization for the improvement of the quality of care for the citizens of Kentucky. He introduced the following key individuals who participated in these discussions:

Catholic Health Initiatives

Paul W. Edgett, III – Senior Vice President, National Business Lines

St. Joseph Health System

Gene Woods – President & CEO

Jewish Hospital and St. Mary's Health Care

Gerald D. Temes, M.D. – Jewish Hospital HealthCare Services Board Chair

Janice James – Jewish Hospital & St. Mary's HealthCare Transition CEO

David Laird – Senior Vice President

President Ramsey recognized people assisting UofL in these discussions:

Jennifer Elliott and Greg Davis with Stites & Harbison

Joan Coleman, UMC Board of Directors

Jim Taylor, University of Louisville Hospital's CEO and President

Mark Carter, financial consultant

President Ramsey noted that even as national health care reform takes effect, Kentucky continues to face serious challenges with access to care and the health status of its residents. Statistics included:

- More than half of the state was designated as medically underserved;
- There is growing scarcity of physicians across the state;
- Kentucky was ranked among the top 10 states with the worst health indicators for cancer, obesity and death due to heart disease and stroke;
- First in lung cancer and 50% higher than the national incidence;
- Fourth in overall cancer incidence in 2006;
- Seventh in the incidence of obesity in 2008;
- Seventh in the overall number of deaths associates with cardiovascular disease;
- Ninth in the number of deaths from heart disease;
- Ninth in the number of deaths from stroke;
- Shortage of 3,000 physicians by 2020

The President continued with the following presentation.

Vision Statement for Creating a Statewide Network

President Ramsey recognized creating this network as the premier, integrated comprehensive health system in the Commonwealth would make it known for efficiently providing the highest quality care and service close to home; for reducing the incidence of disease; and for eliminating inequities in access throughout the communities we serve. With unmatched geographic reach, the University of Louisville was differentiated by its faith based and academic heritage, developing the best next generation of healthcare professional, and for being the fastest in translating research from bench to bedside. He said because the University has been a vigorous nationally-recognized health system, the

University was also the go-to organization for any major health policy initiative in the State.

Combined Opportunities

When finalized, he affirmed the new partnership will:

- Have statewide geographic reach
- Include a capital investment by Catholic Health Initiatives exceeding \$300 million throughout the Commonwealth of Kentucky
- Expand the Academic Medical Center in Louisville to include the University of Louisville Hospital, James Graham Brown Cancer Center, Jewish Hospital and Frazier Rehab Institute
- Extend the research and teaching programs of the University of Louisville statewide
- Governed through a community board of trustees representing the Commonwealth that will have fiduciary responsibilities
- Provide Seamless care for patients
- Create new physician partnerships
- Partner, promote and train more physicians

President Ramsey showed maps depicting the extent of the geographic reach of clinics and affiliates. He said over 2 million citizens would have access to the newly formed network. The network would expand to virtually all 120 Kentucky counties.

Combined Strength

President Ramsey recognized the following strengths of the proposed partnership:

- Presents over 3000 physicians
- Connects 91 locations
- Has a statewide reach
- Addresses the challenges of health care reform
- Provides academic medicine
- Serves translational research
- Offers faith based care
- Includes advocacy and care for the poor and marginalized

Why Combine?

Anticipating the question of why combine services, President Ramsey said the partnership would

- Better meet challenges of health care reform through
 - Accountable Care Organizations
 - Higher Quality and Lower Cost
- Enhance programs and services of the academic medical center
- Access to capital funding

- Address current clinical care capacity issues

With the board's action today, President Ramsey said all governing bodies connected to each partner will have approved a Letter of Intent (LOI) to create an integrated healthcare organization for the improved care of the citizens of the Commonwealth.

- The LOI clears the way for
 - The partners to begin formally discussing details of the new organization
 - Negotiation of a formal agreement
 - Seek regulatory approval

President Ramsey called upon the partners to speak.

Mr. Woods expressed St. Joseph's enthusiasm for this partnership, recognizing there is no other entity providing a single integrated service.

On behalf of the JHHS board, Dr. Temes said they were very excited about the opportunity for Kentucky, for the facilities and employees of all institutions and medical community. JHHS has a long history of working with UofL and with Catholic Health Initiatives. He expressed confidence in the new direction for healthcare in Kentucky.

Ms. James and Ms. Coleman reiterated their enthusiasm to be involved in the partnership.

Mr. Taylor concurred, noting a tremendous opportunity for the state.

Mr. Carter reported the University Medical Center retained his firm, DDF, as a financial advisor to access capital, i.e., accumulate funds to invest in the medical center so it can grow. He said Dr Taylor requested the Kauffmann firm review debt capacity of University Hospital approximately two years ago. The review looked at debt capacity of each of the parties. DDF primarily used that data and reviewed hospital financial statements, etc. to provide advice to the University on capital aspects. Mr. Carter commented on UMC's operations and funding as well as the management team and board's success for implementing that strategy.

Dr. Cook said he was privileged to be a part of this process and work with President Ramsey and the other representatives. Dr. Cook observed the partnership participants looked diligently at preserving the University's School of Medicine, its autonomy, research and rights and privileges and privacy of faculty, and considered its available options. He, and colleagues of the University in this process, observed this was an excellent option. He enthusiastically endorsed the partnership.

Dr. Edward Halperin, who serves as Dean of the UofL School of Medicine, Ford Foundation Professor of Medical Education and Professor of Radiation Oncology, Pediatrics and History observed the following comments:

You have heard the basic arguments in favor of approval of the LOI regarding an affiliation agreement. These include improved access to capital for our academic health center, availability of increased operating room and hospital bed capacity, access to a primary care network, improved venues for clinical instruction and clinical research, the opportunity to expand an academic program in physical medicine and rehabilitation, synergies in the operation of the cancer center, and augmentation of our already strong relationships with Jewish Hospital in cardiothoracic surgery and solid organ transplantation.

In analyzing the proposals in LOI, I have done what any physician-scientist would ordinarily do: conduct research. I have read extensively from the books published on hospital mergers, the peer reviewed literature, and I have methodically conducted telephone and email interviews with academic and private practice physicians who have experience with affiliation agreements. I have personally visited institutions to learn from their successes and failures. I have lived through two such processes at Duke and observed a third at the University of North Carolina.

I, along with a ten-member faculty committee, having reviewed the literature and given great thought to the proposal before you, addressed the concerns and expectations of the faculty regarding academic promotion and tenure, work assignments, undergraduate and graduate medical education, clinical research, governance, appointments of Chiefs of Service, and clinical care. Legal counsel have taken our recommendations and operationalized them within the LOI via an academic affairs committee which is responsible for the protection of the academic enterprise in the proposed entity.

The proposal before you provides an extensive list of protections for the school and its research, educational and clinical missions.

My colleagues and I have given thought to the issues of reproductive health care which might be affected by the proposal before you. Simultaneously respecting the ethical and religious directives (ERDs) of the Roman Catholic Church, providing women's health services, and translational research, and instruction which is mandated for medical students and obstetrics and gynecology residents is not a problem. It's an opportunity and is eminently solvable.

I have poured over the published literature on mergers involving Catholic hospitals and public hospitals and have benefited from the counsel of my fellow deans.

A shared commitment to the academic freedom of professors to teach, students to learn, and a free discourse of ideas have produced written assurances in the LOI to preserve the primacy and privacy of the doctor-patient relationship and absolute assurances of the academic freedom of the school to determine and implement its own curriculum.

It is clear to me that, at other institutions in the United States, mechanisms have been created to preserve what the faculty views as essential to preserve reproductive health options and translational research while simultaneously remaining sensitive to the ERDs of the Catholic Church.

The School of Medicine exists for the generation, conservation, and dissemination of knowledge about the causes, prevention, and treatment of human disease. The proposal before you concerns creating the future of academic medicine. Efforts to create the future are fundamentally hopeful acts. The best way to predict the future is to invent it. The document before you preserves the indigent care, research, educational, and service missions of the academic medical center. It is in the best traditions of a people's university.

Dean Halperin concluded his comments by recommending a vote in favor of the motion.

Mr. Edgett, representing Catholic Health Initiatives of Denver, reported the CHI leadership team was happy to enter into agreement with UofL and JHHS, while bringing St. Joseph to the partnership. He observed the long history of the organizations for providing care and recognizing their common values. The opportunity to partner with other organizations is new to CHI, and representatives there look forward to building values around research. He recognized that not only did Kentucky benefit from this partnership, but also across 20 states where CHI has significantly invested. Mr. Edgett thanked members involved in the partnership discussions.

President Ramsey recognized board members, Mr. Robert Rounsavall and Dr. Robert Curtis Hughes, who represented the trustees and the University Hospital. They participated in these discussions not only from a financial perspective, but also an academic perspective. Mr. Rounsavall emphasized the process was long and complicated. He complimented all leaders of the organizations. On many occasions, the leaders could have said this was too tough or hard, but they

continued to bring everyone together, therefore, creating an integrated vision statement.

Dr. Hughes thanked Dean Halperin for his thoughtfulness and depth of comments. Dr. Hughes reported he and Mr. Rounsavall were involved from the beginning and thanked everyone for their dedication and hard work. Dr. Hughes noted the far-reaching possibilities of this partnership and stated his whole-hearted endorsement. Dr. Hughes then made a motion, which Mr. Rounsavall seconded, to approve the

Board of Trustees' authorization of President Ramsey or his designee to finalize discussions and execute a non-binding letter of intent to create an integrated health services organization to improve the quality of care for the people of Kentucky.

The motion passed with Ms.Scoppechio abstaining.

The board took a brief recess at 2:46 and resumed its meeting at 3:05 p.m.

IV. Other Business

Chair Frazier reconvened the meeting at 3:05 p.m. Judge Jackson, Chair of the Finance Committee, made the following motion, which Ms. Moore, Chair of the Audit Committee, seconded:

On behalf of the Finance Committee and with the support of the Audit Committee, we move that the Board of Passport present to the next Finance Committee (January 13, 2011) their response to the recommendations of the State Auditor. While the Board of Trustees does not have responsibility for Passport, the involvement of the University of Louisville faculty-physicians makes it important for the Board of Passport to provide this information to the Trustees Finance Committee and Audit Committee of the University.

The motion passed.

President Ramsey reported the University held its capital campaign kick-off on November 10. At the kickoff event, President Ramsey announced the University has raised \$370 Million toward its \$750 Million goal. This accomplishment to date has far exceeded expectations. He showed the video from the event and thanked Chair Frazier for his support and everyone who attended. (Judge Jackson departed at 3:10 p.m.)

IV. Action Item: Approval of the Creation of a Graduate Nurse Practitioner Certificate

President Ramsey called upon Provost Willihnganz for a summary. She reported the program consists of four tracks: Family Nurse Practitioner, Psychiatric Nurse Practitioner, Neonatal Nurse Practitioner, and Adult Nurse Practitioner.

Dr. Willihnganz recognized the Advanced Practice Nurses as a critical component in the new models of health care reform. The University of Louisville will provide specialty training in a post-master's certificate format as an expeditious way to train nurses who already have a graduate nursing degree but wish to specialize further. Applicants must currently hold a Master of Science degree in Nursing from an accredited institution and have one year of experience as a registered nurse.

She further noted the certificates are required by the Kentucky Board of Nursing administrative regulation process (HB179). Not only does the KBN now require a post-master's certificate, the certification bodies are now requiring a post-master's certificate to sit for the licensure examination. Since certification is required in order to become licensed, the student must obtain formal post-master's certification in order to practice. Ms. Abrams made a motion, which Ms. Scoppechio seconded, to approve the

President's recommendation that the Board of Trustees approve the creation of a graduate nurse practitioner certificate.

The motion passed.

V. Action Item: Authorization of Executive Committee to Act on Grawemeyer Awards, Designations and Namings, and Routine Personnel Matters

President Ramsey explained that, according to its bylaws, the Board of Trustees does not routinely meet in the month of December. The Board of Trustees will not meet between November 11 and February 8, 2011. The President, therefore, requested that the Board authorize the Executive Committee to act for the Board during this timeframe. Dr. Hughes made a motion, which Ms. Abrams seconded, to approve the

Chair's recommendation that the Board authorize the Executive Committee to take action on the following:

- **Adopt Grawemeyer Awards for 2011;**
- **Monthly personnel actions and routine personnel policy revisions;**
- **Designations and awards;**
- **Other matters of housekeeping nature.**

The motion passed.

VI. Information Item: Update on Diversity

Provost Willihnganz introduced Dr. Mordean Taylor-Archer, Associate Provost for Diversity. Dr. Taylor-Archer recognized the President and Provost for their strong commitment to diversity, moving forward so forcefully.

Dr Taylor-Archer discussed the steps taken in achieving diversity:

Diversity Planning – Summary of Goals Achieved

In 2008-2009, **88%** of the units' aggregate goals were achieved; that number increased to **91%** in 2009-2010

Achieved 8 of 8 of the CPE Kentucky Plan Goals*

(Diversity in Student Enrollment, Retention, Graduation; Workforce)

Note: **New** Statewide Diversity Policy was adopted by CPE September 12, 2010.

It provides the framework under which all state-supported colleges and universities are to develop their diversity plans.

Diversity in student body enrollment*

In 2008-2009, **3,562** students of color; 2009-2010 there were **3,702**

Diversity in the Faculty

In 2009-2010 there were **2,125**, of which **836** (39%) were women and **399** (19%) were faculty of color

Dr. Taylor-Archer reported the University currently has filled **92** endowed chairs, of which **15** (16%) are faculty of color, and **12** (13%) are women.

With respect to international diversity, Dr. Taylor-Archer reported:

Increase in number of students studying abroad

- In 2008, **382** students participated in study abroad programs
- In 2010, number of students increased to **597** (56% increase)

2020 Goal for number of faculty teaching, conducting research or providing service achieved

The current 2020 Strategic Plan goal is **300**; in 2010, the actual number was **337**

Dr. Taylor-Archer discussed the following improvements to the International Center:

Provost's Task force on International Initiatives (completed in 2007)

Implemented the following recommendations:

- Hired additional International Center staff
- More individualized counseling for students planning to study abroad and international students

- Building Renovations to enhance services and create a more welcoming climate
- Creation of International Affairs Advisory Committee

Dr. Taylor-Archer reported on International Policies and Initiatives:

Composition: campus representatives from the academic units, Financial aid, Honors Program, travel department, and student services offices

Purpose: to review existing policies and procedures and recommend new ones as needed to integrate and streamline services and help eliminate barriers to international study and research

She noted improvements to the International Center included:

- A **direct enrollment policy** for students participating in study abroad opportunities at universities that do not have exchange agreements with UofL or are not approved institutions through Federal Financial Aid
- Protocol for faculty, staff and students to study and conduct research in countries on the State Department Travel Warning List
- Templates developed and approval guidelines established for international agreements, ensuring that university legal standards are met
- Took the lead in supporting the creation of “**Education Kentucky,**” a state-wide consortium whose mission is to promote the Commonwealth as a destination for international students to study

Dr. Taylor-Archer discussed a few examples of enhanced opportunities to study abroad:

- Ali Scholars - England and Ghana
- Student Affairs – Philippines, Botswana and Belize
- Arts & Sciences - China, Panama and Trinidad
- Business – Poland, Turkey, Dubai, Germany
- Medicine – Kenya and Equador
- Music – China and South Korea

She discussed the following ways in which the University is improving campus climate:

Great Places to Work initiatives:

- Cards Under the Stars
- Campus Climate Committee Recommendations
- Family-Friendly Recommendations

Campus Climate Surveys conducted in Spring 2010

- CODRE, COSW, Great Places to Work, Part-time Faculty Committee produced a comprehensive instrument to survey the needs of faculty, staff and students

President's Message Regarding Respect

- Urged campus community to follow the example set by our student-athletes, who work together despite their different roles to reach a common goal

Bias Incident Response Team (BIRT)

The Bias Incident Response Team (BIRT) is a group of faculty and staff who are committed to creating a proactive response to instances of hate and bias in the following ways:

- **Support** those who are targeted by hate or bias
- **Refer** them to the resources and services available
- **Educate** the campus community about the impact of hate and bias
- **Promote** initiatives and new ideas that further a welcoming, bias- and hate-free climate at U of L

She discussed opportunities for cross-cultural interaction, which included “Let’s Talk Lunches,” Inclusive Teaching Circles, International Teas, and Difficult Discussions.

Dr. Taylor-Archer summarized COSW’s recommendations from a 2009 follow-up study that have been implemented, as well as the Hispanic/Latino initiative.

Dr. Hughes complimented Dr. Taylor-Archer and recognized UofL as a school of opportunity.

Dr. Cosby congratulated Dr. Taylor-Archer for her work and her passion. This semester for the first time, in maybe 80 years, the University of Louisville has two classes on the oldest HBCU in the state of Kentucky (Simmons College of Kentucky). There are 30 UofL students taking classes at Simmons College. He recognized the very profound impact on the western part of the city.

VII. Action Item: Approval of Documents Related to the HSC Energy Savings Performance Contract Bond Issue

President Ramsey summarized the documents relating to the energy performance bond issue. Ms. Abrams made a motion, which Dr. Hughes seconded, to approve

The President’s recommendation that the Board of Trustees:

approve the issuance of the \$25,000,000 University of Louisville General Receipts Bonds, 2010 Series A and B(below); and

authorize the President or his designee to execute any documents required to complete the legal and financial transaction. This debt service will not result in an increase in tuition or fees.

SERIES RESOLUTION

A RESOLUTION PROVIDING FOR THE AUTHORIZATION, ISSUANCE AND SALE OF APPROXIMATELY \$25,000,000 GENERAL RECEIPTS OBLIGATIONS (ENERGY SAVINGS PROJECT) OF THE UNIVERSITY OF LOUISVILLE, PURSUANT TO THE TRUST AGREEMENT DATED AS OF MARCH 1, 2007.

WHEREAS, the University of Louisville (herein called the "University"), a public body corporate and an educational institution and agency of the Commonwealth of Kentucky, by resolution adopted by the Board of Trustees of the University on February 21, 2007 (herein called the "General Bond Resolution"), and by a Trust Agreement, dated as of March 1, 2007, as supplemented (herein called the "Trust Agreement"), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the Trust Agreement) of the University secured by a pledge of the University's "General Receipts" (as defined in the Trust Agreement), each such issue to be authorized by a Series Resolution, as required by the Trust Agreement; and

WHEREAS, the Board of Trustees of the University (the "Board") has determined that it is necessary to finance the costs of certain capital improvements related to a Guaranteed Energy Savings Performance Contract (the "Project") by the issuance of Obligations (the "Energy Savings Obligations"); and

WHEREAS, by authority of Sections 162.340 to 162.380 of the Kentucky Revised Statutes, Chapter 56 of the Kentucky Revised Statutes and Sections 58.010 to 58.140 of the Kentucky Revised Statutes (collectively, the "Act") and H.B. 1 of the General Assembly of the Commonwealth of Kentucky, 2010 First Extraordinary Session, as enacted and vetoed in part, the University is authorized to enter into guaranteed energy savings performance contracts, to issue its obligations to pay all or part of the costs of such capital assets, and to secure said obligations by a pledge of and lien on all or such part of the revenues and receipts of the University; and

WHEREAS, the Board, in order to pay the costs of the Project, desires to provide for issuance and sale of University of Louisville General Receipts Bonds, in one or more series, and for other matters in connection therewith, by the adoption of this Resolution;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY OF LOUISVILLE, AS FOLLOWS:

SECTION 1. Definitions and Interpretations. All words and terms defined in Section 1 of the Trust Agreement and all interpretations therein provided shall have the same meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use clearly indicates another or different meaning or

intent, except that this Resolution is sometimes herein called and may be known as the "2010 Resolution," the Obligations authorized by this Resolution are sometimes herein called and may be referred to herein (and in the Supplemental Trust Agreement or Supplemental Trust Agreements hereby authorized) as the "Energy Savings Obligations," and the terms "hereof," "hereby," "hereto," "herein," and "hereunder," and similar terms, mean this Resolution.

SECTION 2. Authority. This Resolution is adopted pursuant to the General Bond Resolution, the Trust Agreement, and the Act.

SECTION 3. Authorization, Designation and Purpose of Obligations. It is hereby declared to be necessary to, and the Board shall, issue, sell and deliver, as provided and authorized herein Energy Savings Obligations in the aggregate approximate principal amount of \$25,000,000 as General Receipts Obligations which shall be issued as General Receipts Bonds (the "Project Bonds"). Such Energy Savings Obligations shall be designated "University of Louisville General Receipts Bonds" or, if the Bonds are issued as Build America Bonds and/or Qualified Energy Conservation Bonds, each as hereinafter defined, "University of Louisville General Receipts Bonds Taxable Build America Bonds" and "University of Louisville General Receipts Bonds Taxable Qualified Energy Conservation Bonds," and shall bear such further series designations as the Fiscal Officer (as defined in the Trust Agreement) deems appropriate. Such Energy Savings Obligations shall be issued for the purpose of (i) financing the costs of the Project and (ii) paying costs of issuance in connection with such Energy Savings Obligations. The proceeds from the sale of such Energy Savings Obligations shall be deposited and allocated as provided in Section 6 hereof.

SECTION 4. Terms and Provisions Applicable to the Obligations.

(a) **Form, Numbering and Designation.** The Energy Savings Obligations shall be issued in the form of fully registered Obligations as approved by the Fiscal Officer, shall be numbered from 1 upwards, by series, and shall bear such series designations as the Fiscal Officer deems appropriate.

(b) **Denomination and Dates.** The Energy Savings Obligations shall be in such denominations as requested by the Original Purchaser (hereafter defined), and shall be dated on the date determined by the Fiscal Officer and may be issued in installments (each installment being a part of the Energy Savings Obligations herein authorized) with maturity dates approved by the Fiscal Officer, having a final maturity that is no later than seventeen years after the Energy Savings Obligations are issued.

(c) **Interest.** The Energy Savings Obligations shall bear interest from their issue dates, payable on dates approved by the Fiscal Officer, beginning on a date approved by the Fiscal Officer, at the rate or rates per annum determined pursuant to Section 5 hereof.

(d) **Maturities.** The Energy Savings Obligations shall mature on such dates, in the years and in the principal amounts set forth in the maturity schedule approved by the Fiscal Officer pursuant to Section 5 hereof.

(e) **Redemption Terms and Prices.** The Energy Savings Obligations shall be subject to optional and mandatory redemption on such dates and terms as approved by the Fiscal Officer, with the advice of the Financial Advisor (hereinafter identified) and set forth in the Supplemental Trust Agreement. If less than all of the outstanding Energy Savings Obligations are called for redemption at one time, they shall be called in the order of the maturities and series as directed by the Fiscal Officer. If less than all of the outstanding Energy Savings Obligations of one maturity are to be called, the selection of such Energy Savings Obligations or portions of such maturity to be called shall be made in the manner provided in the Trust Agreement. Notice of call for redemption of such Energy Savings Obligations shall be given in the manner provided in the Trust Agreement.

(f) **Other Provisions.** The Energy Savings Obligations may, at the option of the Fiscal Officer, be secured by municipal bond insurance or similar instrument issued by a financial or insurance institution acceptable to the Fiscal Officer.

(g) **Place of Payment and Paying Agents.** The principal, interest and any redemption premium on registered Energy Savings Obligations shall be payable by check or draft, as provided in the Trust Agreement.

(h) **Execution.** The Energy Savings Obligations shall be executed in the manner provided in the General Bond Resolution.

(i) **Build America Bond and/or Qualified Energy Conservation Bond Designation.** The Board hereby retains the option that the Energy Savings Obligations or a portion of the Energy Savings Obligations may be designated as Build America Bonds (the "Build America Bonds"), as permitted by the American Recovery and Reinvestment Act of 2009 (the "Recovery Act"), and/or as Qualified Energy Conservation Bonds, (the "Qualified Energy Conservation Bonds"), as permitted by the Recovery Act and Hiring Incentives to Restore Employment Act of 2010 (the "Hire Act"). The Fiscal Officer is hereby authorized and directed to designate all or a portion of the Energy Savings Obligations as Build America Bonds and/or Qualified Energy Conservation Bonds, which Energy Savings Obligations, if so designated, shall bear interest which shall be included in gross income of bondholders for federal income tax purposes. Build America Bonds are any obligation (other than a private activity bond) the interest on which would otherwise be excludable from gross income under Section 103 of the Internal Revenue Code of 1986, as amended (the "Code"). Therefore, with respect to any Energy Savings Obligations designated as Build America Bonds, such Energy Savings Obligations will comply with all requirements applicable to the issuance of tax-exempt governmental bonds. Qualified Energy Conservation Bonds are obligations permitted by the Recovery Act and the Hire Act, (a) 100% of the "available project proceeds" of which shall be

used for one or more qualified conservation purposes, (b) which are issued by a state or local government, (c) which are irrevocably designated as Qualified Energy Conservation Bonds by the University pursuant to Section 54D(a)(3) of the Code, (d) which meet all other requirements set forth in Sections 54A and 54D of the Code and, if an election is made, Section 6431(f) of the Code (and federal regulations applicable thereto) and IRS Notice 2010-35, and (e) the issue price of which does not have more than a de minimis amount of premium over the stated principal amount, as determined under rules similar to the rules of Section 1273(a)(3) of the Code governing original issue discount, subject, however, to certain adjustments to the arbitrage rules of Section 148 of the Code and to the federal guarantee provisions of Section 149 of the Code applicable to Qualified Energy Conservation Bonds. Therefore, with respect to any Energy Savings Obligations designated as Qualified Energy Conservation, such Energy Savings Obligations will comply with all the requirements set forth in the preceding sentence.

With respect to any Energy Savings Obligations designated as Build America Bonds, the Board hereby authorizes the Fiscal Officer to irrevocably elect, pursuant to Section 54AA(g) of the Code, the direct credit payment to issuer option as provided in Section 6431 of the Code under which the United States Treasury will pay to the University 35% of the interest payable on such Energy Savings Obligations (the "Credit Payments") (contemporaneously with each interest payment date for such Energy Savings Obligations) so long as the Energy Savings Obligations comply with all federal tax requirements of the Build America Bonds. With respect to any Energy Savings Obligations designated as Qualified Energy Conservation Bonds, the Board hereby authorizes the Fiscal Officer to irrevocably elect, pursuant to Section 54A of the Code, the direct credit payment to issuer option as provided in Section 6431 of the Code, under which the United States Treasury will pay to the University 70% of the lesser of (a) the amount of interest payable on such Energy Savings Obligations, or (b) the amount of interest that would have been payable under such Energy Savings Obligations on the interest payment date if the interest was determined at the applicable credit rate determined under Code Section 54A(b)(3) with respect to such Energy Savings Obligations (the "Qualified Energy Conservation Payments").

The Fiscal Officer or his or her designee is hereby authorized and directed to execute and file on behalf of the Board one or more "Return for Credit Payments to Issuers of Qualified Bonds" (Form 8038-CP) with the United States Department of the Treasury on the dates and at the place designated in Form 8038-CP and applicable provisions of the Code and Treasury Regulations issued thereunder for the Build America Bonds and Qualified Energy Conservation Bonds. Funds received by the Board pursuant to the filing of Forms 8038-CP shall be deposited to the credit of the Revenue Fund or the Debt Service Payment Account for the Energy Savings Obligations, established within the University of Louisville General Receipts Obligations Debt Service Fund, established under Section 4.01 of the Indenture, as appropriate, to provide for the timely payment of principal

or interest on any Build America Bonds and Qualified Energy Conservation Bonds.

SECTION 5. Award and Sale of Energy Savings Obligations. The Energy Savings Obligations shall be offered publicly for sale upon the basis of competitive bids at such time as the Fiscal Officer, upon advice of the Financial Advisor to the University, shall designate.

The Fiscal Officer is hereby authorized and directed to cause an appropriate form or forms of a Notice of Sale of Bonds to be published in *The Courier Journal*, a legal newspaper published in the City of Louisville, Kentucky, which will afford local and statewide notice of the sale, and, to the extent required by law, and, to the extent required by law, in *The Bond Buyer*, a financial journal published in the City of New York, New York, which is a publication having general circulation among bond buyers; and said newspapers and financial journal are hereby declared to be qualified to publish such notice for the Board within the meaning and provisions of Chapter 424 of the Kentucky Revised Statutes. Such notice shall be published in said newspapers and financial journal at least once not less than seven nor more than twenty-one days prior to the scheduled date of sale of the Energy Savings Obligations.

The forms of Notice of Bond Sale, Official Terms and Conditions of Sale of Bonds, Bid Form and Official Statement, shall be in such form as approved by Bond Counsel for the University, by the Financial Advisor, by the General Counsel of the University and by the Fiscal Officer.

Bidders shall be advised that the fee of the Financial Advisor for services rendered with respect to the sale of the Energy Savings Obligations is contingent upon the issuance and delivery of the Energy Savings Obligations, and that the Financial Advisor may submit a bid for the purchase of such Energy Savings Obligations at the time of the advertised public sale thereof, either individually or as the member of a syndicate organized to submit a bid for the purchase of such Energy Savings Obligations.

Upon the date and at the respective hour set forth for the submission and consideration of purchase bids, as provided in the instruments hereinabove approved, bids shall be reviewed as provided in such instruments. If there shall be one or more bids which conform in all respects to the prescribed terms and conditions, such bids shall be compared, and the Fiscal Officer, upon the advice of the Financial Advisor, is authorized to accept the best of such bids, as measured in terms of the lowest interest cost to the Board, as calculated in the manner prescribed in the Official Terms and Conditions of Sale of Bonds. Calculations shall be performed as are necessary to determine the exact amount of Energy Savings Obligations that are required to be issued in order to (i) pay the budgeted costs of the Project, and (ii) pay the costs of issuing the Energy Savings Obligations and the final principal amount, interest rates and maturities of the Energy Savings Obligations shall thereupon be established, as prescribed in the Official Terms and Conditions of Sale of Bonds.

SECTION 6. Allocation of Proceeds of Energy Savings Obligations. All of the proceeds from the sale of the Energy Savings Obligations and other lawfully available funds of the University shall be received and receipted for by the Fiscal Officer and shall be deposited and allocated as set forth in the applicable Supplemental Trust Agreement approved hereby.

SECTION 7. Additional Covenants with Respect to Internal Revenue Code of 1986, as Amended. This Board hereby finds and determines that all of the proceeds from the sale of the Energy Savings Obligations will be needed for the purposes set forth in Section 6 hereof. This Board hereby covenants for and on behalf of the University, that it will restrict the use of the proceeds of the Energy Savings Obligations in such manner and to such extent, if any, and take such other actions as may be necessary, in view of reasonable expectations at the time of issuance of such Obligations, so that, as applicable, (i) the Energy Savings Obligations will not constitute obligations the interest on which is subject to federal income taxation or "arbitrage bonds" under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as amended (the "Code"), and regulations prescribed under such Sections and/or (ii) will continue to qualify as Build America Bonds and/or Qualified Energy Conservation Bonds under Sections 54AA and 6431 of the Code. The Fiscal Officer or any other officer of the University having responsibility with respect to issuance of the Energy Savings Obligations is hereby authorized and directed to give an appropriate certificate for inclusion in the transcript of proceedings with respect to the Energy Savings Obligations, setting forth the facts, estimates and reasonable expectations pertinent under said Sections 103(b)(2) and 148 of the Code and an election, if appropriate, with respect to Section 148(f)(4)(B)(IV)(V) of the Code. The Fiscal Officer is hereby authorized and directed to create a Rebate Account (which shall be held by either the University or the Trustee, at the discretion of the Fiscal Officer) if the Fiscal Officer determines such account is necessary so that the University complies with the rules concerning "rebate" as set forth in the Code, as they apply to the Energy Savings Obligations.

SECTION 8. Supplemental Trust Agreement. The Chair of the Board is authorized and directed to execute, acknowledge and deliver to the Trustee, in the name of and on behalf of the University, one or more Supplemental Trust Agreements pursuant to the Trust Agreement and in connection with the issuance of the Energy Savings Obligations, in the prescribed form, with such changes therein not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer executing the same on behalf of the University. The approval of such changes, and that such changes are not substantially adverse to the University, shall be conclusively evidenced by the execution of such Supplemental Trust Agreement by such officer.

SECTION 9. Official Statement. The Chair is hereby authorized and directed to execute and deliver an Official Statement with respect to the Energy Savings Obligations for the purpose of making available to potential investors the information therein contained, which describes the interest

rates and other terms to be borne by and the price to be paid for the Energy Savings Obligations, and such other information with respect to the University and the Energy Savings Obligations, necessary in the judgment of the Chair with the advice of the Fiscal Officer and the Financial Advisors. The Chair and the Fiscal Officer are each hereby authorized to deem the Preliminary Official Statement and final Official Statement "near final" and "final" for purposes of Securities Exchange Commission Rule 15c2-12, as amended and interpreted from time to time, promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934 (the "Rule").

SECTION 10. Compliance With Rule 15c2-12. The Board of Trustees hereby agrees, to comply with the provisions of the Rule. In order to comply with the Rule, a Continuing Disclosure Agreement in the usual and customary form is hereby authorized and approved, with such modifications and additions as may be approved by the officer of the University executing the same. The Chair and the Fiscal Officer are each hereby authorized to execute and deliver such Continuing Disclosure Agreement.

SECTION 11. Open Meetings. This Board hereby finds and determines that all formal actions relative to the adoption of this Resolution were taken in an open meeting of this Board, and that all deliberations of this Board and of its committees, if any, which resulted in formal action, were taken in meetings open to the public, in full compliance with applicable legal requirements.

SECTION 12. Further Authorization. That the proper and appropriate officers of the Board and of the University, to the extent authorized by law, are hereby authorized to execute and deliver the closing certificates, if any, with such modifications thereto as may be required by the purchasers of the Energy Savings Obligations and approved by special bond counsel to the University as well as such other documents, certificates and statements as may be so required and so approved in connection with sale and delivery of the Energy Savings Obligations.

SECTION 14. Provisions in conflict are Repealed. All resolutions or parts thereof in conflict with the provisions of this Resolution are hereby rescinded to the extent of such conflict.

SECTION 15. Effective Date. This resolution shall take effect from and after its passage.

SECTION 16. Copy to be Filed with Trustee. A certified copy of this Resolution shall be filed with the Trustee

The motion passed.

VIII. Action Item: Approval of Endowment Match Annual Report

Vice President Curtin noted the Endowment Match Program encourages private investment in public higher education research activities to stimulate business development, generate increases in externally sponsored research, create better jobs and a higher standard of living, and facilitate Kentucky's transition to a knowledge-based economy. The program matches public funds with private gifts to fund endowed chairs, professorships, fellowships, scholarships, and mission support at the public universities.

The CPE has directed the state universities to provide detailed annual reports describing how the state and matching funds are used during the fiscal year. The report includes such items as the number of endowed chairs and professorships, the specific support services attached to the chairs and professorships, and the benefits of the program to the Commonwealth of Kentucky in terms of jobs, revenue growth, creation of wealth, and improved quality of life. The University of Louisville has identified institutional outcomes, such as increases in sponsored research directly attributed to the program, changes in the quality of students and measurable outcomes such as retention, graduation, pursuit of advanced study, and employment as well as the creation and profitable use of intellectual property. Ms. Abrams made a motion, which Dr. Selvidge seconded, to approve

the President's recommendations that the Board of Trustees approve the Endowment Match Program 2009-2010 Annual Report as requested by the Council on Postsecondary Education.

The motion passed.

IX. Executive Session

Dr. Hughes made a motion, which Dr. Selvidge seconded, to go into executive session at 3:35 p.m. to discuss a personnel matter. The motion passed.

X. Open Session Reconvenes

Chair Frazier reconvened the open session at 4:40 p.m. He reported a personnel matter was discussed. Dr. Hughes made a motion, which all trustees seconded to

Accept the President's recommendation that the employment of C. Patrick McGraw, Ph.D., be terminated effective as of today's date, November 11, 2010.

The motion passed.

XI. Adjournment

The meeting adjourned at 4:45 p.m.

BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

In Executive Session

November 11, 2010

- Present: Mr. Owsley B. Frazier, Chair
Ms. Sana Abhari
Ms. Marie Abrams
Mr. Ron Butt
Dr. Kevin Cosby
Mr. Brent Fryrear
Dr. Salem George
Ms. Augusta Brown Holland
Dr. Robert Curtis Hughes
Judge Rebecca Jackson
Dr. Mark Lynn
Mr. Frank Minnifield
Ms. Brucie Moore
Mr. Robert Rounsavall, III
Ms. Debbie Scoppechio
Dr. William Selvige
Dr. Robert Staat
- Absent: Mr. Jonathan Blue
Mr. J. Chester Porter
Ms. Phoebe Wood
- Guests: Prof. C. Patrick McGraw
Mr. David Bryce Barber (legal counsel for McGraw)
Ms. Melissa Bork, Greenbaum, Doll & McDonald (legal counsel for University)
Mr. Holland McTyeire, V, Greenbaum, Doll & McDonald (legal counsel for University)
- From the University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. Larry Cook, Executive Vice President for Health Affairs
Dr. William Pierce, Interim Exec. Vice President for Research & Innovation
Ms. Angela Koshewa, University Counsel
Mr. Mike Curtin, Vice President for Finance
Mr. Keith Inman, Vice President for University Advancement
Mr. Larry Owsley, Vice President for Business Affairs

Mr. Dan Hall, Vice President for Community Engagement
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Kathleen Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Chair Frazier called the Executive Session to order at 3:40 p.m.

II. Personnel Matter – Faculty Termination

Ms. Koshewa, University Counsel, briefed the board regarding the procedure as outlined in *The Redbook*. The board heard oral arguments from legal counsel representing Dr. McGraw and the University.

III. Adjournment

The executive session adjourned at 4:35 .m.

MINUTES OF THE MEETING OF THE EXECUTIVE COMMITTEE OF THE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

In Open Session

Members of the Executive Committee of the University of Louisville Board of Trustees met at 3:00 p.m., on December 22, 2010, in the Jefferson Room, Grawemeyer Hall, Belknap Campus, with members present and absent as follows:

Present: Dr. Salem George, Vice Chair, Presiding
 Mr. Frank Minnifield, Treasurer
 Dr. Robert Curtis Hughes, Secretary
 Ms. Debbie Scoppechio, at large
 Mr. Brent Fryrear, Constituency Representative
 Mr. J. Chester Porter, *ex officio*

Absent: Mr. Owsley B. Frazier, Chair

Other Trustees

Present: Mr. Robert Rounsavall
 Dr. Robert Staat

From the

University: Dr. James R. Ramsey, President
 Dr. Shirley Willihnganz, Executive Vice President and Provost
 Ms. Angela Koshewa, University Counsel
 Ms. Judy Hughes, Communications & Marketing Specialist
 Mrs. Kathleen M. Smith, Assistant Secretary
 Mrs. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present, Vice Chair George called the meeting to order at 3:00 p.m.

II. Action Item: Approval of 2011 Grawemeyer Awards

President Ramsey presented the proposed winners for the 2011 Grawemeyer Awards. He noted that at the November board meeting, Trustees received a detailed briefing on these awards. Mr. Minnifield made a motion, which Dr. Hughes seconded, to approve the

President's recommendation that the Board of Trustees approve the following nominees for the 2011 Grawemeyer Awards:

Music: Louis Andriessen

- **Improving World Order: Kevin Bales**
- **Psychology: Dr. Walter Mischel**
- **Religion: Luke Timothy Johnson**

The motion passed.

III. Executive Session

Mr. Minnifield made a motion, which Ms. Scoppechio seconded, to go into executive session at 3:05 p.m. The motion passed.

IV. Reconvene Open Session

Vice Chair George reconvened the open session at 3:17 p.m. and reported that during executive session, the Committee discussed personnel matters.

Personnel Matter

Mr. Minnifield made a motion, which Ms. Scoppechio seconded, to approve the

President's recommendations that the following personnel recommendations be approved by the Board of Trustees.

ADMINISTRATION

Dana B. Mayton, J.D., University of Arkansas at Little Rock; Senior Associate Vice President for Governmental Relations and Special Assistant to the President, January 18, 2011. The appointment as Senior Vice President and Special Assistant is at the pleasure of the Board of Trustees.

COLLEGE OF ARTS AND SCIENCES

Ying Kit Chan, Ph.D., Professor of Fine Arts; additional appointment as Chair of Fine Arts, January 1, 2011. The appointment as Chair is at the pleasure of the Board of Trustees.

Shiping Hua, Ph.D., Professor of Political Science; additional appointment as the Calvin and Helen Lang Distinguished Chair in Asian Studies, January 1, 2011.

UNIVERSITY LIBRARIES

Robert E. Fox, Jr., M.B.A., University of Georgia, M.L.S., Clark Atlanta University; Professor, University Libraries Faculty, with tenure, and Dean, University Libraries, February 14, 2011. The appointment as Dean is at the pleasure of the Board of Trustees.

The motion passed.

V. Adjournment

Mr. Minnifield made a motion, which Mr. Fryrear seconded, to adjourn the meeting at 3:20 p.m. The motion passed.

EXECUTIVE COMMITTEE OF THE
BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

December 22, 2010

In Executive Session

Present: Dr. Salem George, Vice Chair, Presiding
Mr. Frank Minnifield, Treasurer
Dr. Robert Curtis Hughes, Secretary
Ms. Debbie Scoppechio, at large
Mr. Brent Fryrear, Constituency Representative
Mr. J. Chester Porter, *ex officio*

Absent: Mr. Owsley B. Frazier, Chair

Other Trustees

Present: Mr. Robert Rounsavall
Dr. Robert Staat

From the
University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Ms. Angela Koshewa, University Counsel
Ms. Judy Hughes, Communications & Marketing Specialist
Mrs. Kathleen M. Smith, Assistant Secretary
Mrs. Debbie Dougherty, Board Liaison

I. Call to Order

Vice Chair George called the executive session to order at 3:08 p.m.

II. Personnel Matters

President Ramsey and Provost Willihnganz briefed the Committee regarding the personnel recommendations.

III. Adjournment

Dr. Hughes made a motion, which Mr. Minnifield seconded, to adjourn the executive session at 3:15 p.m.

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING REVISIONS TO *THE REDBOOK*
CHAPTER SIX**

**Academic & Student Affairs Committee – January 13, 2011
Board of Trustees – February 8, 2011**

RECOMMENDATION:

The President recommends:

That the Board of Trustees approves revisions to *The Redbook* Chapter Six, as attached hereto, effective immediately.

Revised December 3, 2010

Redbook Chapter Six

Student Governance and Student Affairs Administration

Article 6.1 The Students of the University

A "student" is any person taking courses at the University, either full time or part time, pursuing undergraduate, graduate, or extension studies on a regular quarter, semester, or summer-term basis, or a person in a residency program of the School of Medicine or the School of Dentistry.

Article 6.2 Admission of Students

The faculty of each academic unit shall establish admission requirements based on the objectives of the unit and the course of study offered. For interdisciplinary degree programs and tracks, this academic authority will be shared among the faculties of the participating units as specified in the Bylaws of the School of Interdisciplinary and Graduate Studies. The selection of students shall be made in accordance with University regulations and also in conformity with federal, state, and local laws.

Article 6.3 Rights and Responsibilities of Students

A. Each student has the responsibility to become acquainted with and shall follow all rules and regulations of the University and of the academic unit in which the student is enrolled. The official publications outlining the University rules applicable to students shall be accessible to all students, and the provisions therein shall be uniformly applied to the students affected.

The Office of the President in consultation with the Student, Staff, and Faculty Senates shall establish a Code of Student Rights and Responsibilities, which shall be transmitted to the Board of Trustees for its approval.

B. Except as otherwise provided in this Chapter, all students enrolled in Master's and Doctoral Programs shall have the rights and privileges of students enrolled in The School of Interdisciplinary and Graduate Studies.

Article 6.4 Access to Documents

Students shall have access to their own student records in accordance with federal, state, and University regulations. Other access to student records shall be limited in accordance with University regulations and with federal and state laws.

Article 6.5 University of Louisville Student Government

- A. The Student Government Association through the Student Senate is responsible for eliciting and expressing the opinions, suggestions, and recommendations of the student body of the University of Louisville. The Student Senate shall be responsible for continuing review of University policies and documents affecting students and shall make recommendations concerning these matters. The Student Senate shall determine the rules and procedures of the Student Government Association, ~~and shall be responsible for chartering and revoking charters of student organizations in accordance with the requirements for recognition established by the University.~~ The Student Government Association and the Student Senate shall operate under a written constitution and bylaws, as adopted by the Student Senate and subject to approval by the President of the University. These documents shall be available for inspection upon request in the Offices of the Student Government Association and the Vice President for Student Affairs.
- B. The President of the Student Government Association is the President of the Student Body by virtue of a University-wide election.
- C. The Faculty Senate and Staff Senate shall select from their respective memberships one ex officio member and one ex officio alternate member of the Student Senate. The alternate member shall have the right of the floor, but shall have no vote unless the voting member from that Senate is absent.

Comment [m1]: The Code of Student Rights and responsibility also has language that address this process, and it is covered under sec. 13 below. This eliminates redundancy and confusion.

Comment [m2]: Relevant sections of the Code of Student Rights Section 13:
Campus Organizations
 Organizations and groups may be established within the University for any legal purpose. Affiliation with an extramural organization shall not, in itself, disqualify the University branch or chapter from University privileges. A group shall become a formally recognized organization through procedures established by the Student Government Association, upon approval of the Vice President for Student Affairs.

E. Any organization that engages in activities either on or off campus that are illegal or contrary to any University policy may have sanctions imposed against it, including withdrawal of University recognition.

Article 6.6 Academic Review, Advancement, Probation, and Dismissal of Students

Sec. 6.6.1 Academic Authority

The academic authority of the University in all matters involving academic status of each student shall be vested in the academic unit in which the student is enrolled. The authority over an individual course rests with the academic unit in which it is offered.

Sec. 6.6.2 Course Grading

The authority for the determination of grades in any course shall rest with the faculty of the academic unit offering the course. Each student shall have the right to discuss any grade with the appropriate faculty member or academic dean in accordance with the procedure of the academic unit.

Sec. 6.6.3 Degree Status

Each academic unit shall be charged with the responsibility and authority to make academic determinations as to continuation in a degree or other program, probation, or permanent or temporary dismissal of students. Such determination shall be made upon evaluation of the student's academic performance and demonstrated fitness to continue in the program in accordance with promulgated standards established by the unit. Academic dishonesty in any form, including plagiarism, forgery, or cheating, reflects detrimentally upon the fitness of a student to continue in a program.

When an academic unit makes a decision recommending action which results in a change of a student's academic status, the appropriate dean shall notify the student. The student shall have the right to discuss this matter with the proper person from that academic unit and follow such procedures as may have been established by that unit. A representative of the unit shall meet informally with the student and shall explain the basis of the academic decision. The academic unit shall keep as a part of the student's record a notation of any academic determination other than promotion or unqualified continuation in a program, with such record to contain a brief statement of the reasons for such action as discussed with the student and a statement of the date of the informal meeting as well as a list of the names of the persons attending that meeting.

**Article 6.7 Nonacademic Disciplinary Procedures
(Article 6.7 as revised by the Board of Trustees, 4/2001)**

Sec. 6.7.1 General Responsibility, Procedures and Types of Discipline

The general responsibility for nonacademic discipline of all students ~~at enrolled in~~ the University of Louisville shall be vested in the Office of the Vice President for Student Affairs. The Office will promulgate and administer the Code of Student Conduct approved by the President or designee. ~~This office shall work closely with the deans of the various academic units.~~

~~Upon notice of an alleged offense the Office of the Vice President for Student Affairs shall determine the facts of the case. If the facts indicate that an offense has been committed, the Office of the Vice President for Student Affairs shall afford the student an opportunity to offer an explanation if such opportunity has not already been afforded. The office may also provide a hearing, depending upon the circumstances of the case. The hearing may be conducted by a hearing officer or other designated person within the Office of the Vice President for Student Affairs who may render a decision on the matter or a hearing panel which will make a recommendation on the matter to a designated person within the Office of the Vice President for Student Affairs.~~

If ~~therein~~ the student is found to have committed conduct prohibited by the Code of Student Conduct ~~an offense~~, an appropriate sanction(s) ~~disciplinary measure~~ shall be imposed by the Office of the Vice President for Student Affairs, ~~from among the following:~~

- ~~1. **Reprimand:** Notice of violation of specified regulations and warning that further such conduct may result in more severe disciplinary action.~~
- ~~2. **Disciplinary Restrictions:** Limiting of certain privileges or practices of the individuals involved in the offense.~~
- ~~3. **Disciplinary Probation:** Imposition of conditions on the individuals involved, with warning of possible graver action if further infractions occur (or if probation is violated).~~
- ~~4. **Disciplinary Dismissal:** Immediate exclusion from the University with student ineligible for readmission until the lapse of one or more regular terms, as specified.~~
- ~~5. **Disciplinary Expulsion:** Immediate, permanent exclusion from the University subject only to readmission by the Board of Trustees of the University.~~

Comment [m3]: By removing we eliminate duplication this language is in the Code. This section is the enabling authorization.

~~6. (REV. 10/28/96) Restitution, public service, counseling or other assessments, educational programs or other measures may also be required in appropriate circumstances.~~

Comment [m4]: By removing we eliminate duplication this language is in the Code. This section is the enabling authorization.

Sec. 6.7.2 Procedure

In each case where the decision results in separation from the University, or a recommendation to withholding or revoke a degree, or revoking a degree, the Office of the Vice President for Student Affairs shall so notify the dean of the academic unit in which the student has been enrolled.

When the Office of the Vice President for Student Affairs initially assumes jurisdiction of an alleged offense, that office may deem it necessary to exclude the student from the University campuses immediately while an initial investigation is made. This action "suspension pending investigation" shall not exceed ten (10) business days and shall be taken to: ensure the safety and wellbeing of members of the University community; to preserve University property; to ensure a student's own physical or emotional wellbeing; or if the student poses an ongoing threat of disruption to the normal operations of the University. invoked only in the extreme case when the presence of the student on campus is considered to constitute in the opinion of the Office of the Vice President for Student Affairs a clear and present danger to the student, to the University community, or to the operation of the University.

Sec. 6.7.3 Appeals

The Code of Student Conduct will provide an appeal process when the decision results in separation from the University, withholding a degree, or revoking a degree.

A student who has received a disciplinary sanction of dismissal or expulsion may, by written request made within ten (10) business days of the date of the notice of the decision, request a review by either the Vice President for Student Affairs or the University Student Appeals Board.

A. The University Student Appeals Board shall be composed of seven regular members, consisting of four faculty members elected by the Faculty Senate for staggered terms of two years, and three students elected by the Student Senate for terms of one year. The President of the University shall select one of the board's regular faculty members to serve as chair of the board. The chair shall vote only in the event of a tie in the voting by the other members of the board. Should a member become unable to serve, a replacement shall be elected by the appropriate Senate to complete the term. There shall also be three faculty members elected by the Faculty Senate to serve staggered two-year terms as alternate members, and three students elected by the Student Senate to serve one-year terms as alternate members. Insofar as possible, the faculty and student members shall be selected in such a manner as to be representative of the broad range of academic units at the University of Louisville.

B. Each time an appeal is taken, the chair will summon the regular panel. In the event that a regular member cannot be present, the alternate members shall be called until a full panel

~~of four faculty and three students is constituted. If for any reason the chair cannot serve or disqualifies himself or herself, the board shall choose another regular faculty member to serve as chair for the purpose of that appeal.~~

~~C. The recommendation of the board shall be transmitted in writing to the Vice President for Student Affairs for final decision.~~

~~D. In cases where the discipline imposed involves separation of the student from the University (dismissal or expulsion), the Vice President for Student Affairs may exclude the student from the University campuses during the period of review pursuant to subsection A., except on matters relating directly to the review process.~~

Article 6.8 Student Grievance Procedures

Sec. 6.8.1 Individual Recourse

Any students who believe they have been treated unfairly, discriminated against, or have had their rights abridged may initiate a grievance within one year from the event giving rise to the complaint. The students shall first seek to have the matter resolved through informal discussion and through administrative channels.

As used herein the phrase "persons directly involved" means the grievant and those who are alleged to have brought about the condition upon which the grievance is based.

Sec. 6.8.2 Student Grievance Officer

There shall be a Student Grievance Officer nominated from a list of three persons other than students by the Student Senate and appointed by the President. The representatives of the Student Senate shall meet with the Office of the President to establish and review the duties and functions, the term and structure of the office, and budgetary arrangements necessary for the effective functioning of the Student Grievance Officer.

The Student Grievance Officer is responsible for informing students of their rights and obligations under the grievance procedure and especially the deadlines that have been established. The Student Grievance Officer shall seek to resolve informally as many grievances as possible.

Sec. 6.8.3 Academic Grievance Procedure

Except as otherwise provided for the School of Interdisciplinary and Graduate Studies, the faculty of each academic unit specified in *The Redbook* shall, in consultation with the Student Council of that unit, establish a unit Academic Grievance Committee and procedures for processing student grievances concerning academic matters. Academic matters are defined as those concerning instructional activities, research activities, activities closely related to either of these functions, or decisions involving instruction or affecting academic freedom. Each unit's student grievance committee shall receive and make recommendations on formal grievances to its dean.

The Graduate Student Academic Grievance Committee shall be considered the unit academic grievance committee for and shall have original jurisdiction over grievances brought by students enrolled in the School of Interdisciplinary and Graduate Studies.

Sec. 6.8.4 Nonacademic Grievance Procedure

The Vice President for Student Affairs, in consultation with the Student Senate, shall establish the Nonacademic Grievance Committee to hear and make recommendations to the Vice President on formal student grievances concerning nonacademic matters which include all matters not covered by [6.8.3](#). A student may not file a grievance under this procedure involving matters arising in University housing. A student may not file a grievance which affects students as a class. On each grievance filed under the nonacademic procedures, the Student Grievance Officer shall recommend to the committee whether sufficient grounds exist to justify a hearing. Student disciplinary appeals are covered by [Section 6.7.3](#) and may not be the subject of student grievances filed under this section.

Sec. 6.8.5 Hearing Procedures in Original Jurisdiction

Each grievance committee shall recommend to the dean of the unit within twenty working days of receipt of a written statement of any grievance whether to accept a case for hearing. The committee shall hear the case when the dean concurs. The written statement shall contain the following:

1. A brief narrative of the condition giving rise to the grievance;
2. A designation of the parties involved; and
3. A statement of the remedy requested.

The grievant or any person directly involved shall have the right to challenge any member of the committee for cause. In the event of challenge, the committee shall consider and rule on the challenge. The challenged member shall not vote on the challenge. In the case of disqualification, absence, or other inability to serve, alternates shall serve when possible.

The grievance committee shall recommend to the dean of the unit whether there are sufficient grounds to accept a case for hearing. The committee shall notify, in writing, all persons directly involved as to the reason for its recommendation. The action of the grievance committee as to whether to grant a hearing when accepted by the dean of the unit shall be final and binding on all parties except when subject to the conditions of appeal. If a case is to be heard, such hearing shall be granted within thirty working days of receipt of the written statement of grievance, although such hearing may be subject to reasonable delay caused by availability of parties, or vacations, unless the grievance committee determines that delay would cause hardship to one or more of the parties to the grievance.

Sec. 6.8.6 Unit Academic Grievance Committee Report

- A. Each Unit Academic Grievance Committee shall make its report, with recommendations for settlement of the case, to the dean of the unit with copies to the persons directly involved in the grievance. In the event that the final decision of the dean is not in accord with the grievance committee's recommendation, the reasons for that decision shall be stated in writing to all persons directly involved and to the grievance committee.
- B. If the grievance directly involves the dean, the report of the grievance committee shall be referred for decision to the University Provost. The dean shall also receive a copy of the report.

Sec. 6.8.7 Nonacademic Grievance Committee Report

- A. The Nonacademic Grievance Committee shall make its report, with recommendations for settlement of the case, to the Vice President for Student Affairs with copies to the persons directly involved in the grievance and to the proper administrative officer. In the event that the final decision of the Vice President for Student Affairs or of the proper administrative officer is not in accord with the grievance committee's recommendation, the reasons for that decision shall be stated in writing to all persons directly involved and to the grievance committee.
- B. If the grievance directly involves the Vice President for Student Affairs, the report of the grievance committee shall be referred to the President or his designee. The Vice President for Student Affairs shall also receive a copy of the report.
- C. When the desired remedy lies outside the jurisdiction of the Vice President for Student Affairs, the vice president shall forward the decision to the appropriate vice president or an administrator designated by the President as having a role comparable to that of a vice president for appropriate action. If the recommended remedy is not implemented, the responsible administrator shall state the reasons in writing to the Vice President for Student Affairs and all persons directly involved in the grievance.

Sec. 6.8.8 Rehearing

A grievance committee, within twenty-one working days after the delivery of its report, may be petitioned to reconsider its decision upon the basis of evidence of misrepresentation of material facts or upon the basis of newly discovered evidence clearly not available at the original hearing.

Sec. 6.8.9 University Student Grievance Committee

The University Student Grievance Committee shall consist of four faculty members and three student members. The President of the University shall select one of the committee's faculty members to serve as chair of the committee. The chair shall vote only in the case of a tie in the voting by the other members of the committee. The committee shall also have three alternate faculty members and three alternate student members. The faculty members shall be elected for staggered three-year terms by the Faculty Senate. The student members shall be elected for one-year terms by the Student Senate. Insofar as possible, the faculty and student members shall be selected in such a manner as to be representative of the broad range of academic units at the University of Louisville.

Sec. 6.8.10 Original Jurisdiction of the University Student Grievance Committee

The University Student Grievance Committee shall have original but not exclusive jurisdiction over grievances which involve two or more academic units or involve issues which either the Unit Academic Grievance Committee or Nonacademic Grievance Committee can show that it is unable to consider, or are outside its jurisdiction, or involve disagreement among two or more student grievance committees.

Sec. 6.8.11 Appellate Jurisdiction of the University Student Grievance Committee and the Graduate Student Academic Grievance Committee

- A. In any non-academic grievance or in an academic grievance, except as otherwise provided in 6.8.11.B., any party directly involved in a grievance may appeal the decision to the University Student Grievance Committee, if the final decision of a dean, vice president, or an administrator designated by the President as having a role comparable to that of a vice president is not in concurrence with the recommendation of the grievance committee. The appeal shall be made to the University Student Grievance Committee within twenty-one working days from the date of the final decision of the responsible administrator.
- B. In an academic grievance in post-baccalaureate programs, other than J.D., M.D., D.M.D. programs and School of Medicine and School of Dentistry residency programs, any party directly involved in a grievance may appeal the final decision of a dean, or the Vice Provost for Graduate Affairs to the Graduate Student Academic Grievance Committee. The appeal shall be made in writing to the Graduate Student Grievance Committee within twenty-one working days from the date of the final decision of the dean or Vice Provost for Graduate Affairs.
- C. An appeal to or a hearing by the University Student Grievance Committee or to the Graduate Student Academic Grievance Committee shall be based upon the record established by the Unit Academic Grievance Committee or the Nonacademic Grievance Committee. The committee then may request additional information.

Sec. 6.8.12 Formal Procedure

Both the appellate and the original jurisdiction of the University Student Grievance Committee shall be initiated through a written grievance to the chair of the University Student Grievance Committee with a copy sent to the Office of the President. The University Student Grievance Committee shall decide whether there are sufficient grounds for a hearing and in doing so it shall consult with the Student Grievance Officer.

Sec. 6.8.13 Hearing Procedure

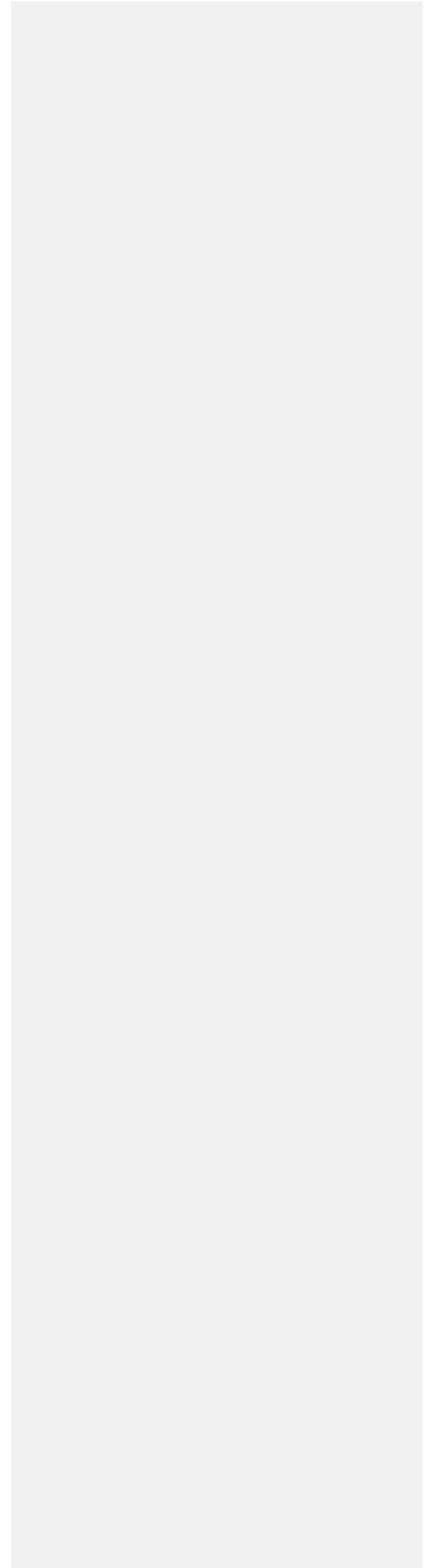
If a grievance is to be heard involving original jurisdiction, the University Student Grievance Committee shall first hear evidence presented by the grievant. The committee shall not be bound by strict rules of evidence and may admit any evidence of probative value in determining the issues involved. Every possible effort shall be made to obtain the most reliable evidence available. All parties in a grievance shall have the right of one preemptory challenge with reference to the membership of the committee.

Sec. 6.8.14 Remedies

- A. In a case involving original jurisdiction the University Student Grievance Committee shall render a finding of fact and, where appropriate, recommend a remedy after hearing all of the evidence.
- B. In a case involving appellate jurisdiction the University Student Grievance Committee or the Graduate Student Academic Grievance Committee must not substitute its judgment on the merits for that of any faculty body or administrator whose decision is being considered. The committee may affirm the decision of a faculty body or administrator whose decision is the subject of the grievance, but should the committee find that the decision being appealed was not based on proper consideration, it may direct that a reconsideration be made, indicating specifically the errors it believes have been committed. After such reconsideration, the committee shall recommend affirmation, modification, or reversal of the decision as reconsidered, and shall submit same as the committee report.
- C. Reports of the University Student Grievance Committee involving grievances concerned with academic matters and reports of the Graduate Student Academic Grievance Committee shall be sent to the vice president responsible for the academic unit involved. Reports of the University Student Grievance Committee involving a grievance against a vice president or involving a grievance of a nonacademic nature shall be sent to the Office of the President. The vice president and the Office of the President shall act upon the committee's report in the following manner:
 1. The appropriate vice president or the Office of the President may accept the remedy recommended by the University Student Grievance Committee or the Graduate Student Academic Grievance Committee within twenty-eight working days, in which case the appropriate vice president or the Office of the President shall take action to implement the remedy.
 - ~~2.~~ 2. The appropriate vice president or the Office of the President may remand the case once if in its judgment the finding of facts was clearly contrary to the weight of the credible evidence.
 - ~~2.~~ 3. The appropriate vice president or the Office of the President may disagree with the recommendation in whole or in part, and in so doing it shall state its recommendations and reasons therefore, in writing, to the University Student Grievance Committee or the Graduate Student Academic Grievance Committee and to all persons directly involved, and shall provide an opportunity for response before taking final action. The appropriate vice president or the Office of the President is responsible for taking final action.

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RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING TEMPORARY MEDICAL DISABILITY BENEFITS

Personnel Committee – January 13, 2011
Board of Trustees – February 8, 2011

Recommendation:

The President recommends:

That the Temporary Medical Disability Program be revised to provide up to three months of continuing health benefits for staff employees who become disabled after completing 12 months of continuous service.

Estimated Cost:

Historical experience suggests this change will affect approximately 10-12 staff employees per year at an annual cost ranging from \$18,000 - \$22,000. The cost for this benefit is included in the medical expense factor for the University's self-insured health plan, and no additional funds will be required.

Overall Assessment:

Providing up to three months of continuing health benefits for regular staff employees (after Family & Medical Leave and Catastrophic Shared Leave are exhausted, if applicable) will promote equity in the level of support provided to staff employees who become disabled while in active service to the University and support the University's Great Places to Work initiative.

COMMITTEE ACTION

PASSED _____
DID NOT PASS _____
OTHER _____

ASSISTANT SECRETARY

BOARD ACTION

PASSED _____
DID NOT PASS _____
OTHER _____

ASSISTANT SECRETARY

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CONTINUATION OF
R. CHARLES MOYER AS
DEAN OF THE COLLEGE OF BUSINESS**

January 13, 2011 (Personnel Committee)
February 8, 2011 (Board of Trustees)

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the continuation of Dr. R. Charles Moyer as Dean of the College of Business.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING PERSONNEL DOCUMENT
OF THE KENT SCHOOL

Personnel Committee – January 13, 2011
Board of Trustees – February 8, 2011

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the revised Kent School personnel document in the form attached, to be effective immediately.

RAYMOND A. KENT SCHOOL OF SOCIAL WORK

Faculty Personnel Review Procedures¹

I. Preamble

The faculty of the Kent School of Social Work is responsible for establishing minimum personnel policies, procedures, and standards that are consistent with The Redbook and University's Minimum Guidelines for Faculty Reviews. Policies and procedures contained herein shall govern the annual, pre-tenure, tenure, promotion, and periodic career review process for all term, probationary and tenured faculty in the Kent School of Social Work.

II. Policies Specific to the Appointment and Promotion of Nontenurable Faculty, **Full & Part-time.**

A. Appointment Policies for Part-time Nontenurable Faculty

- i. Adjunct Faculty appointments for Part-time instructors. Part-time faculty shall be those appointed by contract to teach specified courses and/or to engage in specialized instruction, research, or service 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 Provost. The Annual Review for part time faculty is to occur each semester and be coordinated by the Associate Dean for Academic Affairs. The Promotion of Rank Review is to include the use of student evaluations (or equivalent), copies of all Annual Reviews for the past five years, and the evaluative comments of full time faculty as collected by the Personnel Committee. No part-time appointment, continuation, or renewal thereof, regardless of assignment or seniority, shall result in acquisition of tenure or implied renewal for subsequent periods. Part-time faculty are eligible for promotion in rank by determination of the Dean upon criteria stated in this section of this document. 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 Kent School Bylaws. Such service shall be accounted for and recognized in the individual contracts. The minimum service expectation for all adjunct faculty is to participate in sequence committee meetings if their teaching assignment includes a sequence course.

Part-time faculty with a masters degree as the highest degree attained may only be appointed as Adjunct Instructors. Those with earned doctorates may be appointed at the level of Adjunct Assistant Professor or higher.

The School designates three levels of Adjunct appointment at the Instructor level—Instructor I; Instructor II; and Instructor III, each with its own graduated salary and experience level. After five years of continuous satisfactory teaching at the Instructor I level, teaching an average of at least 2 courses per year or equivalent workload assignment in research or service, a part-time faculty member may be promoted to Instructor II. Faculty at the Instructor II level may be promoted to Instructor III after five more years of satisfactory teaching and averaging at least 2 courses per year. Full time faculty in a term position, who do not have a doctoral degree, are also eligible for promotion within the rank of Instructor.

¹ This document approved by the faculty of the Kent School on March 22, 2006

Those appointed with a Ph.D. at the Adjunct Assistant Professor level may be promoted to Adjunct Associate Professor after five years of continuous satisfactory teaching an average of at least 2 courses per year at the Adjunct Assistant Professor level. Faculty at the Adjunct Associate Professor level may be promoted to the Adjunct Professor level after five more years of satisfactory teaching of an average of at least 2 courses per year. Satisfactory teaching will be determined by student evaluation and by the Academic Associate Dean in collaboration with Program Directors and curriculum sequence chairs. If part time faculty members achieve doctoral degrees during their service as an Adjunct Instructor but before they have served the full five years of their current terms, they will be eligible for promotion beginning the next academic year.

- ii. Emeritus faculty. The honorary title of Emeritus faculty may be conferred upon retired faculty if requested by the Kent School 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.

B. Appointment Policies for Full-time Nontenurable Faculty

- i. All Nontenurable full-time faculty will be called Term Faculty.
- ii. 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.
- iii. 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 50 percent of the total number of probationary and tenured appointments in the School.
- iv. Term faculty appointments may be renewed at the pleasure of the University if the Dean determines that the services of the incumbent are needed for the renewal term.
- v. Faculty on term appointments may apply for and be appointed to probationary appointments.
- vi. Participation in the School's Governance shall be specified in the By-Laws.
- vii. Annual review of term faculty is discussed in *Section III. Annual Review for Full-time Faculty.*
- viii. Term faculty will have access to the same grievance procedure as other full-time faculty. (See Redbook 4.4 Appendix 1.)

III. Annual Reviews for Full-time Faculty

- A. The purpose of Annual Review is the enhancement of faculty performance in the Kent School of Social Work. In keeping with University policy, these guidelines shall serve as a framework for Annual Reviews. Performance evaluations shall be based on the individual's accomplishments and contributions in helping Kent School meet its specific goals and objectives in the prior calendar year. All Annual Reviews shall become part of the record to be used in pre-tenure, tenure, promotion, and periodic career reviews.

- B. Each faculty member will submit to the Dean an Annual Review Report (see *Kent School Website for current approved form*), including any supplemental information and documentation the faculty member considers relevant. The Dean will meet with faculty members to discuss their activities and accomplishments over the past calendar year.
- C. In addition to submitting the Annual Review Report that summarizes the past year's efforts, the faculty member will develop with the Dean the next year's Annual Workload Agreement (see *Kent School Website for current approved form*) for approval by the Dean. When circumstances require significant changes in this work plan, the faculty member shall file an amended plan (including an explanation of the necessary changes) for the Dean's approval.
- D. The Dean will make a salary decision referenced against the Faculty member's Annual Workload Agreement and the criteria listed elsewhere in this document regarding promotion and tenure decisions (4.2.2.A). The decision and its rationale will be communicated in writing to the faculty member and retained for future pre-tenure, tenure, promotion, and periodic review decisions.
- E. The Dean is responsible for notifying faculty of the date each year that materials are due for review by the Personnel Committee.
- F. Annual Review. This date should allow a minimum of one-month notice for preparation of the report and the gathering of materials, as well as allow ample time for the appeal process if necessary.
- G. The Annual Review period is the calendar year. However, if the pool of monies for general faculty increases in either of the prior two years has been lower than the percent of the total faculty salary increases for the current year, faculty members may request that their annual reviews be extended to cover past performance. In no instance will more than three years' performance be included in an Annual Review.
- H. Should a faculty member wish to contest the Annual Review evaluation by the Dean, the faculty member has recourse to appeal to the Personnel Committee. A written request for reconsideration must be sent to the Dean with a copy to the Chair of the Personnel Committee, within two weeks of receiving the written outcome of the Annual Review from the Dean. The Personnel Committee will conduct an independent review and submit its written recommendations to the Dean, with a copy to the faculty member, within one month of receiving the request. This appeal review by the Personnel Committee may include discussions with the Dean and/or the faculty member regarding criteria and rationale for the contested decision.
- I. Annual Review salary increases are awarded based on a four level system. The four levels are as follows:
 - Level 0, Unsatisfactory: This level receives no salary increase. It is to be used when the overall performance of the faculty member does not meet qualifications to be considered minimally satisfactory, or when the faculty member fails to submit any material to the Dean. A decision by the Dean for a zero salary increase must be approved by the Provost and shall include the 1) reasons for the zero salary increase, and 2) specific expectations for improving performance where it is considered unsatisfactory.
 - Level I, Satisfactory, with Areas of Concerns: This level receives Annual Review

salary raises equal to one-half the percentage available that particular year. This level is to indicate that while minimally satisfactory job performance was achieved, there were concerns regarding the level of progress in some areas. A decision by the Dean for a Level 1 salary increase shall include the reasons for the decision, and specific expectations for overcoming the concerns identified.

- Level II, Commendable. This level receives Annual Review salary raises equal to the percentage available that particular year. This level is to indicate that overall performance was commendable in that all areas of work performance were satisfactory or above based on the workload agreement. A decision by the Dean for a Level II salary increase shall include the reasons for the decision.
 - Level III, Exemplary. This level receives Annual Review salary raises equal to the percentage available for that particular year as well as a share of the monies not used due to Level 0 or Level 1 determinations. The annual amount is dependent on the number of faculty attaining Level III and the amount of money unused in that particular year. This level is to indicate that job performance was clearly exemplary in achieving the goals and mission of the Kent School and overall performance was commendable based on the workload agreement. A decision by the Dean for a Level III salary increase shall include the reasons for the decision.
- J. An annual report shall be made by the Dean to the faculty and the Provost which contains the frequency distribution of the percentage salary increase received by all faculty in the unit, the number of faculty receiving salary adjustments for other reasons and a description of the evaluation system used to arrive at such salary increases. Individual faculty will not be identified in this annual report.
- K. The Dean must collect and preserve annual reviews for future personnel reviews.

IV. Tenure

A. Criteria for Tenure

A decision to recommend tenure for fellow faculty members in the Kent School of Social Work is based on the conclusive assessment by the faculty that the candidates have demonstrated their ability to be respected scholars and colleagues. This designation presumes our colleagues' ability to communicate ideas in the classroom, to utilize their skills in service to the university, profession and community, and to influence our field through scholarly contribution. Furthermore, colleagues granted tenure must have the ability to work collaboratively in all three areas of performance and to adhere to professional standards and ethics in all of their activities.

Because the field of Social Work spans a diverse practice with many service populations, the Kent School believes it important to encourage academic excellence and contribution across this spectrum. Within an overall context that values quality teaching, service, and scholarly activity in its many forms, the Kent School seeks to describe some consistent criteria that are to be used for judging satisfactory performance in tenure decisions.

Although the successful candidate for tenure must document that they have met all of the following criteria listed below, works in progress, grant applications, and exploratory work with

a colleague are examples of important activity that will be considered in the evaluation process to provide a fair and accurate assessment of a faculty member's abilities and efforts. (See Section IV.B: Performance Documentation for Promotion, Tenure, and Pre-tenure for further information on examples of work products and the suggested documentation). The criteria listed below are declared for the purpose of guiding candidates in understanding the standard by which the sum total of their work efforts will be measured.

The criteria are divided into the three traditional areas of work performance detailed in the Redbook.

The criteria for Teaching are as follows:

1. Faculty members should be able to demonstrate their ability to engage students in the exchange of ideas and consider the diversity of learning styles students use to reach their best performance.
2. Faculty members should demonstrate their ability to work collaboratively on the administrative tasks involved in teaching to include continued curriculum development, focused course management, and effective evaluation of student performance.
3. Faculty members should demonstrate their interest and ability in optimizing student / teacher relations with particular attention given to advising and mentoring of our students.
4. Faculty members should demonstrate their efforts and accomplishments in utilizing creative instructional techniques with particular attention to the use of technological innovations where appropriate.

The criteria for Service are as follows:

1. Faculty members should demonstrate a record of contributing time, talent, and leadership to the activities of school and university governance.
2. Faculty members should be viewed by their school and university colleagues as dedicated, collaborative and helpful in the tasks of academic governance.
3. Faculty members should demonstrate a record of professional service to the needs of the community on a regular and recognized basis.
4. Faculty members should have professional affiliation and work to improve the profession in ways appropriate to their skills and interests.

The criteria for Scholarship are as follows:

1. Faculty members should be able to demonstrate a consistent level of scholarly effort that includes publication of their work.
2. Although the Kent School encourages alternate venues for professional contribution, and scholarly work covering a wide array of activities is eligible for review in the tenure decision, faculty members should submit a significant portion of their work for peer review, and demonstrate a record of favorable review.
3. Although it is understood that faculty members develop their own interests, abilities and unique projects, it is also expected that faculty may work on collaborative, team-based, and/or interdisciplinary teams to complete scholarly projects of mutual or group interest.
4. A faculty member's scholarly work should be conducted in an ethical and professional manner.

B. Performance Documentation for Promotion, Tenure, and Pre-tenure

Preface

Although the successful candidate for tenure must document that they have met all of the criteria listed in *Section IV. A. Criteria for Tenure*, the criteria listed are not meant to narrow the scope of work product submitted to document a faculty member's efforts to meet that criteria. It is understood that many professional activities are involved in the academic life and that many of these activities, particularly those that fall into the scholarly area, are preparatory in nature. The candidate should document all activities directed toward meeting the criteria.

The Personnel Committee will consider appropriate for review those activities undertaken that the candidate considers applicable toward promotion, tenure, or periodic career review. Specific examples of documented achievement for promotion, pre-tenure, and tenure decisions appear in the following sections of this document. This documentation shall be used to direct the candidate in the preparation of materials and the committee in deliberations but should not be construed to state that meeting minimum documentation will ensure a positive review. The Dean will provide copies of all Annual Reviews and Workload Agreements (with salary information removed) to the Personnel Committee.

Examples of achievement are listed in separate and distinct categories. When an activity could fit into more than one category, it is the candidate's responsibility to assign the activity in the one most appropriate group and to reference that activity in other appropriate places (see *Appendix C*).

1. Documentation in Teaching.

Teaching is the guidance of learners in the acquisition of knowledge and skills and the development of attitudes and values. Teaching may include but is not limited to classroom, laboratory, or clinical instruction, field supervision, thesis and dissertation supervision, essay supervision in a professional component, instructional visits, the various forms of individualized instruction, student advising, counseling, program or project development, and course development and refinement. Teaching documentation may also include innovations in use of technology, such as web sites and use of the Internet.

Minimum documentation entails: student course evaluations for classroom, laboratory, or clinical instruction and/or letters, theses, term projects and field supervision, etc., which critique or offer evidence pertinent to one-on-one teaching (i.e., master thesis, independent study, clinical supervision, etc.). The examples listed in each category are samples of the types of activities that may be documented. These examples are meant to guide candidates but should not limit the materials candidates choose to submit for evaluation. The candidate must not solicit letters from students currently enrolled in Kent School and any of its programs.

Examples of Achievement	Examples of Documentation ¹
Develops and/or upgrades courses, curriculum (objectives, content, learning methods, evaluation methods, etc.)	Syllabi or portfolio. Faculty member must document their unique contribution.
Engages students in the exchange of ideas	Student Evaluations, Peer evaluations
Considers a diversity of learning styles in the classroom	Student Evaluations, Peer evaluations
Develops aids or upgrades instructional materials	Submit samples or describe
Organizes and supervises seminars, workshops, to benefit community agencies.	Syllabi, announcements, letters, etc.
Instructs, develops, designs, or coordinates continuing education courses	Indicate number of CEUs taught and submit brochures, outlines, syllabi etc.
Administers short courses, in-service courses, or continuing education activities.	Course outlines, syllabi or written documentation
Advises or tutors students about academic concerns, careers, professional certifications, etc.	Letters of written documentation
Attends courses or professional meetings leading to improved instructional competence	CEUs, transcripts, etc.
Coordinates clinical education component in the community.	Schedules of field visits, completed field evaluations, and performance evaluations
Participates in or develops grants or contracts	Copy of grant or contract related to teaching.
Develops activities for the classroom that promote the strategic goals of the university (i.e., i2A, Signature Partnership Initiative, community engagement)	Copy of curriculum with accompanying narrative to explain what was developed.

2. Documentation Service To The School, The University, The Community, and the Profession.

The service component of faculty members efforts will be evaluated to the extent that the service contributes to the advancement of the School, University, Community or Profession. Operation of the University involves both long-term and day-to-day activities including membership on school or university committees, informal student contact or counseling, participation in learned professional societies, administrative tasks, and philanthropic contributions to the community.

¹ In cases of collaborative or committee work the individual role of the faculty should be clarified in written narrative.

School or University	
Examples of Achievement	Examples of Documentation ¹
Serves on School or University committees	Letters from chairs or committee members, or files representing involvement
Chairs a School or University committee	Letters from chairs or committee members, or files representing involvement
Attends Faculty and Assembly Meetings regularly	List of dates attended and provides percent of meetings attended.
Volunteers for special assignment	Letters of written documentation
Contributes to Evaluations, self-studies and /or prepares accreditation reports	Self-study reports, graduate or employer follow-up studies, representing involvement
Attends Search Committee Colloquiums on a Regular Basis	Provide letters or evidence of participation.
Contributes to student organizations (advises, presents talks, organizes social activities, etc)	Announcements, brochures, letters, etc.
Recruits new students	Identifies numbers and methods employed
Mentors Colleagues	Letters from protégés
Organizes alumni affairs or is involved in special fund-raising projects	Letters of written documentation
Participates in or develops grants or contracts relevant specifically to service	Copies of grants or contracts
Serves on or attends task groups, conferences, and professional development activities related to the strategic goals of the university (i.e., I2A, Signature Partnership Initiative, community engagement)	Letters of documentation, products, and or summary narrative.

Local, State and National Communities, and the Profession	
Examples of Achievement	Examples of Documentation
Holds office or position of leadership in professional organizations	Announcements, brochures, letters, etc.
Serves on committees in professional organizations or other universities	Announcements, brochures, letters, etc.
Participates in public relations efforts (e.g. Seminars, interviews)	Letters of written documentation
Holds membership on external review boards (governmental agencies, health care facilities)	Announcements, brochures, letters, etc.
Serves as professional consultant (e.g. Community, state, nation, and internationally, in hospitals, schools, clinics etc)	Announcements, brochures, letters, etc.
Participates professionally in community affairs to enhance and engage the community (clubs, civics groups, schools)	Announcements, brochures, letters, etc.

¹ In cases of collaborative or committee work the individual role of the faculty should be clarified in written narrative.

Presents speeches in public relevant to professional activity and community engagement.	Announcements or reviews of talks provided
Appears on television or radio in professional capacity on subjects of benefit to the community.	Verification of appearance
Presents at or organizes cross-disciplinary workshops or courses.	Announcements, brochures, or syllabi
Provides clinical or casework services to help improve the community	Announcements, brochures, or syllabi
Serves professionally as an elected or appointed member of a governmental unit.	Announcements, brochures, letters, etc.

Administrative Service	
Examples of Achievement	Examples of Documentation
Performs program administrative tasks as required in workload agreements or as assigned	Supervisor, faculty, and/or peer evaluation
Administers curriculum sequence (e.g. goals, objectives, learning methods, evaluation methods, schedules)	Supervisor, faculty, and/or peer evaluation
Contributes to self studies and/or prepares accreditation reports	Self-study reports etc.
Provides administrative support for the development of grants or contracts	Copies of grants or contracts
Provides administrative support to promote the strategic goals of the university (i.e., i2A, Signature Partnership Initiative, community engagement)	Copies of products, letters of activity, narrative summaries.

3. Documentation in Scholarly Activity.

Scholarly activity is the act of knowledge creation or integration through the publication or dissemination of original or innovative scholarly work. Evidence of the scholarship of discovery may include copies of publications, professional papers, videotapes, technical reports and/or technical products such as CD's or software. Priority will be given to peer-reviewed work and the documented impact and significance of the scholarship. Research or publications in progress should be submitted and their stage of progress documented¹.

¹ For additional information on the relative weight given to work in progress see *Section 4.2.2.A* in this document.

Scholarly Activity	
Examples of Achievement	Examples of Documentation
Publishes papers (e.g. journal articles, books, chapter(s) of books, literature reviews, internet articles, Technical Reports, case reports, case projects, monographs, proceedings of symposiums ¹) and papers accepted for publication.	Copy of work required and a narrative on peer review process.
Presents papers at professional meetings	Copies of papers, abstracts, or poster presentations are required
Serves as reviewer for professional journals.	Letters
Serves as editor of refereed journal	Journal reference
Participates in or develops grants or contracts	Copies of proposals. Indicate if approved or funded, and level of involvement.
Successfully obtains and manages grants or contracts	Copies of grants, letters from funding sources
Produces creative projects, including instructional projects	Describe or submit copies of relevant material (e.g. papers, videos, computer programs)
Conducts presentations, writes grant, produces video(s), that promote the strategic goals of the university (i.e., i2A, Signature Partnership Initiative, community engagement)	Presentation announcements, copies of grants, letters of recommendation
Conducts academic presentations, writes grants, creates scholarly products that serve to engage and benefit the community.	Presentation announcements, copies of grants, letters of recommendation

C. Pre-tenure, Tenure and Promotion Review Procedures

Notification: The procedure for review of a faculty member who is eligible for pre-tenure evaluation or tenure evaluation is initiated in the Dean's office. The Dean has the responsibility to notify each faculty member and the Personnel Committee that the review is to be conducted. This notification must be made on or before July 1 preceding the fall semester of the year of the review. A faculty member who requests early tenure review has the responsibility of notifying the Dean in writing by June 1. Candidates may request only one evaluation for early tenure. An evaluation for early tenure, once originated, shall proceed unless the candidate requests its withdrawal. In Promotion reviews that do not involve a tenure decision, the candidates must notify the Dean of their interest in being considered for promotion by July 1st of the year they wish to be considered.

Timing of Pre-tenure Review Procedure: All probationary faculty shall receive pre-tenure reviews subject to the following schedule. If there is no prior service to be counted toward tenure, a pre-tenure review shall be conducted in the second half of the third year of service. If the contract specifies 1 year of credit, pre-tenure review would occur in the second half of the second year. In those cases where there are two years of prior service as assistant professor, the pre-tenure review shall be conducted in the second half of the first year of service at the University of Louisville.

If three years of credit are granted then the hiring process will serve as the pre-tenure review.

¹ Not written in order of importance

The pre-tenure review process requires that probationary faculty members demonstrate their progress toward the tenure criteria listed in this document.

The pre-tenure review will be conducted according to the tenure and promotion review process except that external evaluation of scholarly or creative activity shall not be required. Additionally, the pre-tenure review process ends with the presentation of the Personnel Committee's report to the probationary and tenured faculty members. No vote is taken in pre-tenure reviews. The pre-tenure review report is then forwarded to the Dean who meets with the probationary faculty under review for planning and discussion.

Preparation of Materials: The candidate, with the advice of the Chair of the Personnel Committee, shall be responsible for preparation of the evaluation file. The candidate is responsible for preparing and submitting to the Committee the documentation as outlined in the section, *IV.B Performance Documentation for Promotion, Tenure, and Pre-tenure*. The candidate may include other relevant material deemed necessary for completing the file, except that summaries should be substituted for voluminous material. The entire evaluation file, including the list of potential extramural reviewers if required, must be submitted to the Personnel Committee by September 1. The candidate may add newly available material at any time before the file is advanced to the Provost, but any substantive addition may require previous reviewers to reconsider the file.

Steps of Review Process: The candidate should be given copies of the external reviews, with all possibility of the identification of the reviewer removed, once all of the reviews are available or their due date has passed and the process needs to continue. In the case of negative reviews, the candidate is to have a maximum of three calendar days to write a rebuttal to the external reviews prior to the committee meeting to discuss the reports.

The Personnel Committee, or a duly appointed subcommittee of the Personnel Committee, shall conduct a thorough review of all of the materials, including external reviewer reports and faculty surveys, and make a written recommendation regarding promotion and/or tenure

Once the committee review process has been completed, the written opinion of the Personnel Committee shall be presented to the faculty member, the Dean, and the faculty, concurrent with providing those same faculty members access to the submitted materials.

The candidate must be given a maximum of three calendar days to write a rebuttal to the report before the faculty can meet to discuss the report. If a rebuttal of the Personnel Committee's report is submitted to the Dean, it must be distributed to all faculty who will be discussing and taking action on the evaluation. Consistent with the Kent School Bylaws, the tenured and probationary faculty will then meet (without the candidate present) to formally discuss the candidate's qualifications for tenure and promotion, and take action on the committee's recommendation. Term faculty shall not participate in the tenure review of a probationary faculty candidate. However, when the candidate under consideration is a Term Faculty member, the process is expanded to include other Term faculty members. The Personnel Committee's Report is submitted to and then voted on by term, probationary, and tenured faculty members,

The Personnel Committee Chair shall forward the faculty's vote and action to the candidate, and to the Dean of the Kent School of Social Work. This process will be completed based on the Personnel Calendar established by the Provost's office. In the case of a negative recommendation, the candidate will be given a maximum of three calendar days to submit a rebuttal to the Dean before the Dean forms a recommendation to the Provost.

The Dean shall then make a recommendation to the Provost and provide the written recommendation to the candidate based on the Personnel Calendar established by the Provost's office. If performance determination is negative with regard to granting tenure, the Dean may recommend that the contract not be renewed.

The Dean must review each personnel recommendation with the candidate. Candidates shall sign acknowledgements that they have reviewed all the materials and recommendations included in the evaluation file when it is ready to leave the School. If candidates disagree with any recommendation, the candidate has a maximum of three calendar days to add their written rebuttals to the evaluation file. Appeal of any decision will be covered by the policy stated in The Redbook.

The Dean's recommendation, along with the other materials accumulated in the personnel file, shall go forward to the Graduate Dean and then on to the Provost in accordance with the calendar established by the Provost. A copy of the Dean's recommendation to the Provost will be given to the Chair of the Personnel Committee and to the candidate.

D. External Review Procedure

The following External Review Procedures are to be used for all promotion, and tenure decisions for faculty in tenure track positions. It may also be followed on an optional basis for decisions regarding Term faculty¹ or tenure faculty under periodic review.

1. Candidates submit five names, addresses, and emails of external faculty² whom they consider qualified to evaluate submitted materials. The candidate should not discuss the review process with any potential reviewer. The Personnel Committee should initiate first and all contact. The list of names should be submitted concurrently with the submittal of materials.
2. With each name, applicants are asked to give a brief narrative that describes the reviewer's area of expertise and disclose any prior relationship the applicant has had with the reviewer. Applicants must limit their lists of names to individuals who are unbiased, positively or negatively. *Example:* A recognized expert in the field is unacceptable if that person is or has been a collaborator with the applicant on professional work.
3. The Committee will select three individuals from the list submitted and formally request the reviews by letter over the Dean's signature.
4. If for any reason the Committee does not receive names from the faculty member, the Chair of the Committee, in consultation with the Dean, will select the names of reviewers and make the requests for their participation. The candidates retain the right to challenge any evaluator for cause.
5. The Committee is ultimately responsible for selecting the materials to be sent to the reviewers, but the materials should typically include a complete bibliography of works published and in progress, and a representative sample of the candidate's

¹ The option of using external reviews in decisions regarding Term faculty may be exercised by the Personnel Committee, the candidate or the Dean.

² The names submitted should be tenured faculty at other universities, at or above the rank to which the candidate seeks promotion. Alternate names can be submitted if the candidate feels that they are uniquely qualified to evaluate their materials. The applicant must defend these qualifications to the committee.

publications (typically three or four pieces). Although the committee has this responsibility, it is important to involve the candidate in this process and, whenever possible, include materials they consider important. The formal letter sent to the external reviewers should indicate what specifically is requested of them. To acquaint extramural evaluators with the institutional context of the evaluation, the Dean's letter requesting extramural evaluation should enclose a copy of the Extramural Evaluation section of the Minimum Guidelines document, and a list of the school's criteria for granting tenure.

6. The candidate should be given a copy of each external report as it is received. In the case of a negative report, the candidate has three days to write a rebuttal before the Personnel Committee can meet to discuss the External Review.

V. **Criteria for Appointment and Promotion in Rank**

A. **Instructor to Assistant Professor:**

Candidates for promotion to assistant professor shall have an earned doctorate and demonstrate proficiency in their assigned duties as specified in their Annual Workload Agreements.

B. **Assistant Professor to Associate Professor:**

Typically, 5 years of experience at the rank of assistant professor is expected, however, exceptional merit may justify a shorter period. Candidates for promotion to associate professor who are in probationary positions shall demonstrate proficiency in scholarship, teaching and service as measured by the criteria listed in this document, *Section IV.A. Criteria for Tenure*. Candidates for promotion to associate professor in term positions shall demonstrate proficiency in those areas of scholarship, teaching and service required by their Annual Workload Agreements.

C. **Associate Professor to Full Professor:**

Typically, 5 years of experience at the rank of associate professor is required except where exceptional merit may justify a shorter period. Candidates for promotion to the rank of professor shall demonstrate proficiency in scholarship, teaching and service, as defined by their Annual Workload Agreements. Candidates for the rank of professor should demonstrate how their professional efforts have reached a level of distinction and recognition in their field. Candidates for promotion to full professor in term positions shall demonstrate proficiency in those areas of scholarship, teaching and service required by their Annual Workload Agreements.

VI. **Periodic Career Reviews**

- A. All faculty shall undergo periodic career review to evaluate their contributions to the University mission.
- B. Tenured faculty members shall undergo career review every five years. If the faculty member has had a recent tenure or successful promotional review, that review shall be considered the required career review, the next review being scheduled five years from the date of that

review.

- C. Periodic career review of term faculty shall be part of their renewal process. No additional review is required.
- D. The career review five-year period will begin with the year following attainment of tenure or in the year following attainment of the Full Professorship. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year. A promotion review shall replace career review for the period in which the promotion occurs. The Dean shall report the results of all such reviews annually to the Provost.
- E. The Personnel Committee has two levels (Basic and Full) of review available for Periodic Career Review. A Basic Review entails a review of the past 5 years of Annual Review Reports. The Annual Review Reports for each faculty member eligible for Periodic Career Review shall be made available to the Personnel Committee as part of Periodic Career Review process in accordance with The Redbook. Faculty members under review will be considered proficient and satisfactory in their career performance if 1) they had not received a Level 0 within the five year time frame, and 2) they received no more than one Level I, and 3) their Level I year was not the year immediately prior to the scheduled Periodic Career Review.
- F. If a faculty member has more than one year in which their Annual Review resulted in a Level I or lower, or if their only Level I fell in the year immediately prior to the scheduled review, then the Personnel Committee will conduct a more detailed review, a Full Review, and will request additional documentation and materials from the faculty member.
- G. The minimum materials requested in a Full Periodic Career Review (*see Appendix B*) are an updated Curriculum Vitae demonstrating evidence of rank-appropriate proficiency in scholarship, teaching, and service, and a letter to the Personnel Committee describing and summarizing the faculty member's work over the past 5 years, their intentions or projections of activities for the next 5 years, and an explanation of how they have responded to past areas of concern. The candidate will select and submit materials that they believe best illustrate their proficient and satisfactory performance. The Personnel Committee may also request additional information and documentation.
- H. External reviews are not required for Periodic Review although the faculty member, the Personnel Committee or the Dean may request them when deemed useful. Such requests should not be routine but based upon the need to provide outside expertise to evaluate or inform a particular question.
- I. Tenured faculty members evaluated by the Personnel Committee as not meeting performance expectations for their rank shall prepare with the Dean a development plan within thirty days. The faculty member then has one year (or longer with the consent of the Dean) to complete the plan. After the completion of the plan, the faculty member has a year to demonstrate satisfactory performance. At the end of this period, the faculty member shall undergo a second special career review using the same process described for periodic career review. If the faculty member is again evaluated as not meeting performance expectations, the Dean shall take appropriate disciplinary action.
- J. If faculty members believe they have outstanding performance records and that their salaries have not kept pace with this record, they may specifically request the Personnel Committee to conduct Full Reviews of their materials. The Personnel Committee, upon favorable review, may recommend the faculty member to the Dean for a special salary merit increase to reward

career demonstrations of professional excellence.

- K. All Redbook rights of due process and appeal for probationary or tenured faculty shall apply in these reviews.

VII. Annual Work Plan and Presence at the University of Louisville

- A. As the Redbook describes, faculty of the Kent School of Social Work are expected to be in residence throughout the academic term except when an approved Annual Workload Agreement provides otherwise. When a faculty member's temporary absence from residency is necessary, and it does not fall under previously described activities in the Annual Workload Agreement (see section 4.3.2 of this document), it is incumbent upon the faculty member to work with the Dean to modify and update the workload agreement.

VIII. Grievance Procedures

- A. All faculty (part time, term, probationary, and tenured) have access to the grievance procedures established and detailed in the University of Louisville's Redbook, under Article 4.4: Resolution of Disagreements

IX. Work Outside the University

- A. Standard Procedure: Full-time faculty of the Kent School of Social Work may carry out professional work outside the University, with or without pay, within the time guidelines stated by the Redbook. All full-time faculty are required to describe their work in the Annual Review Report (or its equivalent approved by the Faculty) and to forecast expected activities for the coming year in their Annual Workload Agreement (or its equivalent approved by the Faculty). The general description of these activities within these documents allow the faculty member to document that 1) the work is appropriate to the faculty member's expertise, 2) the work is consistent with the mission of the University, and 3) the work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities at the University of Louisville.
- B. Additional Procedures: The Kent School's standard procedures are intended to enhance the Dean's knowledge of the faculty member's professional interests and activities without creating a cumbersome permission process that could stifle productive professional activity. However, if a faculty member's Annual Review results in a judgment of unsatisfactory or minimally satisfactory performance (Level 0 or Level I), and the Dean indicates in the written review that the less than satisfactory performance may have been partially due to time spent on work outside the university, then the Dean may institute an additional more detailed permission process for the faculty member's professional work outside the university. At the Dean's prerogative, this may include a more rigorous individualized monitoring and approval process of any or all of the faculty member's professional work outside the university. The more rigorous approach should be part of an overall plan to assist the faculty member in returning to satisfactory performance.

Appendix A

Term Faculty Promotions: Suggested Format for Materials

Candidates for promotion to associate professor or full professor in term positions shall demonstrate proficiency in those areas of scholarship, teaching and service required by their Annual Workload Agreements.

The following procedure for submittal of materials is the same for all requests for promotion. Only materials relating to activities since coming to the university are to be submitted.¹ In the case of advanced promotion, only materials relating to activities undertaken since the last the promotion decision need to be submitted.

Although the suggestions may seem detailed, they are designed to focus the Committee's review on the faculty member's accomplishments (versus how the materials are presented). Each of the suggestions is meant to solve actual problems that have occurred in past reviews.

- 1) The materials should be organized into separate boxes or containers, representing the different assignments of agreed upon workload. Because workload assignments vary considerably for Term faculty, there is no suggested categorization by the committee.

For example, a faculty member may have workload assignments that include work on two contracts, and a one course teaching assignment. This faculty member would best be served by dividing their materials into three areas, one for each contract and one for the teaching assignment.

Separating the materials by workload assists the committee in dividing up the materials and accomplishing a timely review. It also increases the chance that materials are not mixed up during review.

- 2) Each item or file in each box should be labeled with its contents and be identified with a coding number. The recommended code for teaching is T followed by the number of the document. For instance, the first item in the Teaching container would be T-1, followed by its title or description (i.e. T-1: Courses Taught). This same pattern would then be duplicated in each of the other boxes or containers, however candidates will create their own unique code based on their contract or workload assignment. An example of a unique category might be the faculty member who is responsible for activities under a contract with the Cabinet for Families and Children (CHR). They might use CHR as their designation for all activities on that contract (i.e. CHR-1, CHR-2).
- 3) Each separate box or container should have its own easily recognized **Index of Materials** placed in the front. The organization of the **Index of Materials** will again differ for each area; however, the committee has recommended an organizational scheme for Teaching Activities and it is described below. The purpose of each Index is to guide the reviewers through your materials and explain to committee members what they are viewing. A good Index describes each piece or file and comments on its significance. These descriptive comments can be very short (a couple of lines), but will aid the reviewer tremendously in understanding the importance of the material.
- 4) Some materials can legitimately be considered in more than one category. However, for the purposes of submitting materials they should not be submitted in more than one area. Candidates should place them where they feel they best belong. Candidates should also feel free to check with the Personnel Committee Chair prior to submitting if they would like some advice regarding where to place a given activity.

- 5) **Index of Materials: Teaching Related Activity.** It is recommended that this Index should be organized

¹ This does not apply to the resume, as it should be career inclusive.

under the following sub-headings:

- a) **Courses Taught**
 - b) **Student Course Evaluations**
 - c) **Evaluations from others**
 - d) **Unsolicited Student Comments on Teaching / Advising**
 - e) **Curriculum Development Projects**
- 6) Some Term faculty will have activities that go beyond literal contract workload assignments as defined for term faculty. For instance, they may have significant contributions in the Service area or in Research publications. Such a faculty may prefer to present these materials organized in a way similar to the way suggested for tenure faculty requests for promotion. In these situations, the committee suggests the Term faculty member follow the appropriate organizational suggestions for presenting Service and Research materials that is given in Appendix C of this document.

Appendix B

Full Periodic Career Review: Format for Materials

The following guidelines are only to be used when a faculty member has not been reviewed for any other purpose (i.e. promotion or tenure) within the last five years. If it has been five years since the last review and the faculty member is ready for promotion, then they should follow the guidelines elsewhere in this manual for promotion requests. When submitting materials for a Full Level Periodic Review, only materials relating to activities since their last review are to be submitted.¹

The Periodic Review Process is a peer review of a colleague's professional activity. The Personnel Committee views this as a constructive process aimed at supporting and assisting their colleague's continued professional development. As a reminder, this is a confidential process in which the Committee's Review Report goes only to the Dean (versus the whole faculty) to assist the Dean and the faculty member in their joint review.

Because the Periodic Review Process is ongoing and focuses on continued faculty development, the Personnel Committee does not request as much background material in Periodic Reviews. Occasionally additional information may be requested to help clarify and explain the faculty member's accomplishments. These additional requests should not be seen as an indication of problems, they are simply the result of trying to keep the initial submittal of material reasonable.

The Personnel Committee states the following requirements for submittal of materials:

- 1) RESUME: An up-to-date resume.
- 2) COPIES OF ANNUAL REVIEW LETTERS: If the letters have salary information on them, this should be blocked out prior to submitting to the committee.
- 3) PROFESSIONAL DEVELOPMENT LETTER: A letter to the Personnel Committee describing and summarizing the faculty member's work over the past 5 years and their intentions or projections of activities for the next 5 years. This is meant to provide a career context for the committee so they can better understand the professional goals of their colleague. Utilizing sub-headings as indicated below, this letter should comment on contributions in Teaching, Service, and Research.
 - a) Suggested Outline of Letter
 - i) Overview of the Past Five Years
 - ii) Discussion of Teaching Activities
 - iii) Discussion of Service Activities
 - iv) Discussion of Research Activities
 - v) Plans for the Next Five Years
 - b) Referencing Backup Materials in the Letter
 - i) When discussing in the letter a particular activity for which the faculty member has provided materials, the Committee requests the insertion of a reference code at that point in the letter. The code can follow the same one suggested elsewhere in this manual, i.e. (T) for teaching, (S) for service, and (R) for research, all followed by the number and title of the appropriate file.

Example: *"For the past three years, I have tried to focus improvement on my teaching and*

¹ This does not apply to the resume, which should be career inclusive.

student advising. Although I have always maintained this area, the time I spent on sabbatical rekindled my interest in the mentoring aspects of our profession. I have been pleased with the results of this refocusing and have heard from students that they too have benefited (see T-3: Unsolicited Student Comments on Teaching). I feel particularly good about this given the increased time I have had to put into the curriculum revisions (see T-4: Curriculum Development Projects)."

- 4) **BACKUP MATERIALS:** The materials should be organized into three separate areas. One area for Teaching materials, one for Service related material, and one for Research materials (scholarly activity). Each item or file in each area should be labeled with its contents and be identified with a coding number. In Periodic Reviews, the Professional Development Letter serves the same function as an index of materials and therefore another index with the materials is not suggested.

Reminder: The committee does not expect faculty to submit the extensive materials common to tenure or promotion activities. Faculty members should submit items in each area that assist the committee in understanding their work.

- 5) **EXTERNAL REVIEWS:** External reviews are **not** required for Periodic Review although the faculty member, the Personnel Committee or the Dean may request them when deemed useful. Such requests should not be routine but based upon the need to provide outside expertise to evaluate or inform a particular question.

Appendix C

Promotion, Tenure, and Pre-tenure: Format for Materials

The following procedure for submittal of materials is the same for Promotion, Tenure or Pre-tenure. In the case of Tenure and Pre-tenure, only materials relating to activities since coming to the university are to be submitted. The exception to this rule is when a faculty member was granted a certain number of years of credit accumulated at another university. This should be explained in the candidates Overview Statement to the Committee. This does not apply to the curriculum vitae, as it should be career inclusive. In the case of promotion of tenured faculty, only materials relating to activities undertaken since the last the personnel decision should be submitted.

Although the suggestions may seem detailed, they are designed to focus the Committee's review on the faculty member's accomplishments (versus how the materials are presented). Each of the suggestions is meant to solve actual problems that have occurred in past reviews.

The Personnel Committee states the following requirements for submittal of materials:

- 1) **RESUME:** An up-to-date resume.
- 2) **COPIES OF ANNUAL REVIEW LETTERS:** If the letters have salary information on them, this should be blocked out prior to submitting to the committee.
- 3) **PROFESSIONAL DEVELOPMENT LETTER:** A letter to the Personnel Committee describing and summarizing the faculty member's work over the past 5 years and their intentions or projections of activities for the next 5 years. This is meant to provide a career context for the committee so they can better understand the professional goals of their colleague. Utilizing sub-headings as indicated below, this letter should comment on contributions in Teaching, Service, and Research.
 - a) **Required Outline of Letter**
 - i) Overview of the Past Five Years
 - ii) Discussion of Teaching Activities
 - iii) Discussion of Service Activities
 - iv) Discussion of Research Activities
 - v) Plans for the Next Five Years
- 4) **NOTE:** The candidate has two options for submitting their materials. They may submit hard copies per the suggested guidelines that follow, or they may submit their materials electronically. If submitted electronically, the candidate should arrange their files and directories in a manner consistent with the suggested outline for the submittal of hard copy materials that follows. Formats should be PDF or Microsoft Office based.
- 5) The documentation materials should be organized into a minimum of three separate boxes or containers. One container for Service related material, one for Teaching materials, and one for Research materials (scholarly activity). This assists the committee in dividing up the materials and accomplishing a timely review. It also increases the chance that materials are not mixed up during review.
- 6) Each item or file in each box should be labeled with its contents and be identified with a coding number. The recommended coding is S for service, T for teaching, and R for research (scholarly activity). For instance, the first item in the Service container would be S-1 followed by its title or description (S-1: Kent School Committee Assignments). This same pattern would then be duplicated in each of the other two

boxes or containers (i.e. T-1, or R-1, R-2 etc.).

- 7) Each separate box or container should have its own easily recognized **Index of Materials** placed in the front. The recommended organization of the **Index of Materials** differs for each area and is described below (Number 9). The purpose of this Index is to guide the reviewers through your materials and explain to them what they are viewing. A good Index describes each piece or file and comments on its significance. These description/ comments can be very short (a couple of lines) but will aid the reviewer tremendously in understanding the importance of the material.
- 8) Some materials can legitimately be considered in more than one category. However, for the purposes of submitting materials they should not be submitted in more than one area. Candidates should place them where they feel they best belongs. It should be noted however, that in certain situations the Committee has considered material submitted in one area as documentation in another. This has always been done to strengthen a candidate in an area that the committee considered in need of extra activity. The candidate should also feel free to check with the Personnel Committee Chair prior to submitting if they would like some advice regarding where to place a given activity. The categories that follow should only be viewed as a suggested method of organization, not a list of required or expected materials. Likewise, the candidate is welcome to create additional categories, as they deem necessary to organize their work.
- 9) **Index of Materials: Service Related Activity.** It is recommended that this Index should be organized under the following sub-headings:
 - a) Service to the Kent School
 - b) Service to the University
 - c) Service to the Community
 - d) Service to the Profession
- 10) **Index of Materials: Teaching Related Activity.** It is recommended that this Index should be organized under the following sub-headings:
 - a) Courses Taught
 - b) Student Course Evaluations
 - c) Unsolicited Student Comments on Teaching / Advising
 - d) Unsolicited Comments from other on Teaching / Advising
 - e) Curriculum Development Projects
- 11) **Index of Materials: Research Related Activity.** It is recommended that this Index should be organized under the following sub-headings:
 - a) **Journal Articles**
 - (1) Articles published in refereed journals
 - (2) Articles published in non-referred formats
 - (3) Articles accepted but not yet in print
 - (4) Articles written or submitted but not yet accepted
 - b) **Books and Book Chapters**
 - (1) Books published
 - (2) Books under contract but not yet in print¹
 - (3) Book chapter(s) published
 - (4) Book chapter(s) under contract but not yet in print ¹
 - (5) Books or chapters in some other stage of progress
 - c) **Book Reviews**

¹ Include contract correspondence.

- (1) Book reviews published
- (2) Book reviews invited but not yet in print

- d) **Professional Presentations**
 - (1) Peer reviewed state or regional presentations¹
 - (2) Peer reviewed national presentations

- e) **Grants and Contracts**
 - (1) Grants or contracts received
 - (2) Grants or contracts pending

- f) **Other forms of Scholarly Activity (project evaluation reports, training manuals, conference publications, etc.)**
 - (1) Completed activities
 - (2) Activities in progress

¹ Workshops or “talks” given to public or private entities usually is seen as a service contribution to the community, and therefore should be listed under Service.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING PERSONNEL DOCUMENT
OF THE SPEED SCHOOL

Personnel Committee – January 13, 2011
Board of Trustees – February 8, 2011

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the revised Speed School personnel document in the form attached, to be effective immediately.

Speed School of Engineering Personnel Document
Approved by Faculty Senate
April 6, 2005

April 22, 2005

New Date 2008 ~~11 November 2004~~

PERSONNEL POLICY AND PROCEDURES

J.B. Speed School of Engineering

******NOTE: Table of contents formatting and page numbering will be correct when mark-ups/changes are accepted in MS Word **** [REVISED 10-26-2010]**

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Article 1. Faculty Appointments and Tenure

Section 1.1 Types of Appointments

Faculty appointments are "Full-time", "Part-time", "Emeritus", or "Other", as described in The Redbook, Section 4.1.1.

Section 1.2 Non-Tenurable Appointments

A. Temporary Appointments

Temporary appointments to the various academic ranks may be made for specifically limited time periods less than one year or for special purposes. In no case shall temporary appointments or renewals result in the acquisition of tenure. Temporary appointees shall not be eligible for tenure or count toward time for acquisition of tenure, regardless of assignment or seniority.

B. Part-time Faculty

Faculty members holding part-time appointments in the J.B. Speed School of Engineering shall not be eligible for acquisition of tenure as long as they have part-time appointments.

C. Term Faculty

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 shall meet the standards for probationary appointment to the designated rank and shall participate in annual and career reviews for faculty of the J.B. Speed School of Engineering. Term faculty may apply for promotion in rank according to the criteria of the J.B. Speed School of Engineering. Term faculty appointments may be renewed if the Dean determines that the services of the incumbent are needed for the renewal term by recommendation to the President or President's designee by the Dean, upon initiation of the department chair after recommendation by the department faculty or faculty committee. Faculty on term appointments shall be eligible to transfer to probationary appointments.

Section 1.3 Probationary Appointments

Probationary appointments shall be appointments of full-time faculty members without tenure, provided, however, that no probationary appointment to the J.B. Speed School of Engineering shall extend beyond the period when tenure is normally granted.

A. Assistant Professor

Probationary appointments to the rank of Assistant Professor shall be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter. In

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normal circumstances, persons appointed as Assistant Professors 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. They shall, in any event, give promise of proficiency in all areas of activity listed in Article 2.

B. Associate Professor

Probationary appointments to the rank of Associate Professor shall be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter. In normal circumstances, persons appointed as Associate Professors shall hold the recognized terminal degree in their field of specialization, or shall present evidence of having completed a body of research or other creative activity equivalent in scope and quality to the similar component of such degree. Additional criteria for appointment (or promotion) to Associate Professor can be found in Section 2.3.

C. Professor~~s~~

In normal circumstances, persons appointed or promoted to the rank of Professor shall hold the recognized terminal degree in their field of specialization, or shall present evidence of having demonstrated a level of research and/or service equivalent in scope and quality to the similar component of such degree. Professors shall be awarded tenure if employed subsequent to the initial probationary period. Additional criteria for appointment (or promotion) to Professor can be found in Section 2.3.

Section 1.4 Tenure Appointments

All personnel who have acquired tenure are subject to the criteria herein regarding tenure (Section 2.2) and the provisions governing termination only in their capacities as faculty members.

Section 1.5 Criteria for Graduate Faculty Membership

Graduate Faculty Membership may be awarded to any tenured or tenure-track faculty. A Member of the Graduate Faculty will be authorized to teach graduate courses and serve on thesis and dissertation committees as an advisor or chair (mentor).

Ad hoc appointments to the Graduate Faculty of the J.B. Speed School of Engineering can be granted to Speed School faculty without tenure or tenure-track appointments, faculty from other schools and colleges at the University of Louisville or other external institutions including, but not limited to, universities, national laboratories or commercial enterprises. An Ad hoc appointment is for a specified time period (typically 1-3 years) or for a specified purpose (e.g., service on a doctoral committee until submission of the dissertation).

All Graduate Faculty appointments require submission of an application, a current C.V., and a letter supporting the nomination from the Departmental Chair to the Associate Dean of Academic Affairs. *Ad hoc* appointments are granted by the Associate Dean of Academic Affairs upon request from the Departmental Chair.

All Graduate Faculty appointments terminate upon resignation or retirement unless the Department informs the ~~Graduate School~~ Associate Dean for Academic Affairs in writing that the faculty member is assuming Emeritus status. Emeritus Graduate Faculty retain their graduate faculty privileges.

A. Member of the Graduate Faculty

Qualification for membership in the graduate faculty shall be based upon the following fundamental consideration: the ability to convey knowledge at the graduate level as evidenced by the prospective member's professional academic training, or demonstrated past teaching performance, and continuing creative and/or integrative accomplishments in a recognized academic or professional area. Evidence of these qualifications will vary with discipline. Ordinarily, a prospective member of the graduate faculty will hold the terminal degree in his or her field. Holding the degree, however, will not be the sole evidence of creative/scholarly ability. Moreover, persons who have not earned the terminal degree in their fields but who have proven scholarly capabilities in other ways may be eligible for Member of the Graduate Faculty standing.

All current members of the Graduate Faculty at the time of implementation will be designated as Graduate Faculty.

A.2. Membership By Virtue of Position

Appointments to the following positions in the University shall include an appointment as Member of the Graduate Faculty:

- a) President, Executive Vice President and University Provost, Executive Vice President for Health Affairs, and Executive Vice President for Research.
- b) Dean of the J.B. Speed School of Engineering

B. Roles and Responsibilities

The Graduate Faculty of the J.B. Speed School of Engineering will be responsible for the teaching, training, and mentoring of graduate students and postdoctoral students within the Speed School. Membership in the Graduate Faculty shall be required to teach a course for which graduate credit is available and will be required to serve on a graduate student's thesis or dissertation committee in either an advisory or chairmanship capacity. The Graduate Faculty of other units may serve as external members of the committees. Additionally, membership in the Graduate Faculty will be required to act as mentors for the supervision of research by students working toward degrees authorized through the Graduate Program within the J.B. Speed School

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~~of Engineering. The Graduate Faculty of the J.B. Speed School of Engineering will be responsible for the teaching, training, and mentoring of graduate students and postdoctoral students within the Speed School. Membership in the Graduate Faculty shall be required to teach a course for which graduate credit is available and will be required to serve on a graduate student's thesis or dissertation committee in either an advisory or chairmanship capacity. Additionally, membership in the Graduate Faculty will be required to act as mentors for the supervision of research by students working toward degrees authorized through the Graduate Program within the J.B. Speed School of Engineering.~~

Members of the Graduate Faculty with an *Ad hoc* appointment can be approved by the Associate Dean of Academic Affairs to teach a graduate course or serve as an advisor or chair (mentor) on a graduate thesis or dissertation committee for a limited and specified period of time upon request from the Departmental Chair.

C. Nomination Process

Membership in the Graduate Faculty will be by nomination from the department. The Department Chair shall send a letter of recommendation with the formal application and professional curriculum vitae of the prospective Graduate Faculty Member to the Associate Dean of Academic Affairs. The formal application will be provided during the orientation process for new faculty members. After reviewing the vitae and recommendation, the Associate Dean of Academic Affairs shall approve appointment to the Graduate Faculty.

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Article 2. Faculty Personnel Reviews

General Criteria

The Redbook document requires unit documents to classify faculty activities into the areas of teaching, research and creative activity, and service. This classification is vital since a null performance in an area can result in a denial of tenure. However, there are sure to be activities omitted from any list, no matter how lengthy.

Criteria for promotion and tenure in J.B. Speed School of Engineering are based on, but not limited to, the following areas (The Redbook, 4.2.2.F and 4.2.3.A, respectively):

- Teaching;
- Research or creative activity;
- Service to the profession, the unit, the University or the community;

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- ~~Collaboration with colleagues and rapport with students;~~
- ~~Adherence to professional standards.~~

In addition to the above university criteria, the J.B. Speed School of Engineering will also consider:

- Level of the highest degree, appropriate to job function,
- Registration/Licensure as a Professional Engineer or other forms of certification where appropriate,
- Overall professional development, including education and experience prior to University employment, and subsequent efforts to maintain and advance professional competency, and,
- University leadership capability and experience.

A positive record in these areas should strengthen a candidate's case for promotion or tenure.

The areas of teaching, research and creative activity, and service form a continuum of scholarship, which dynamically interact to form an interdependent whole. In this regard, if a department has duly established guidelines for evaluating its faculty, then all evaluations of these faculty shall take those guidelines into account.

Additionally, the individual may propose a classification for any activity, subject to a ruling of the J.B. Speed School of Engineering Promotion and Tenure (PAT) Committee. Generally, it is the intent of the J.B. Speed School of Engineering that classifications be flexible according to the wishes of the candidate. Activities which are ambiguous may be classified into any area, or distributed among areas, as desired by the candidate as long as the PAT Committee agrees that the classification is reasonable. Some examples are:

- Advising and counseling of students (Teaching/Service)
- Development of course or laboratory materials including textbooks (Teaching/Research and Creative Activity)
- Supervision of student research and/or design activities (Teaching/Research and Creative Activity)
- Supervision of Teaching Assistants (Teaching/Service)

- Industrial consulting or sponsored research (Research and Creative Activity/Service)
- A presentation before a national, state or local group (Teaching/ Research and Creative Activity/Service)
- A paper on education methodology (Teaching/Research and Creative Activity/Service)
- Professional society activity (Service).

Most forms of administration and committee work will be classified as service. All forms of teaching and research and creative activity will be acceptable for review. Reviewers will evaluate their quality and relevance in their recommendations.

Section 2.1 Annual Reviews

Each full-time and term faculty member shall be reviewed annually, and the annual reviews shall become part of the record for periodic career reviews as well as tenure and promotion files.

By January 31, faculty members will submit an annual work report to describe their efforts for the previous year to the department chair, ~~or appropriate non-departmental faculty administrator (henceforth referred to as the reporting official)~~. All faculty activity during the year, including proposals prepared but not yet funded and papers written and submitted but not yet accepted for publication, should be included. Also included should be annual work plans and information relevant to quality of instruction for the review period. It is the faculty member's responsibility to attach supplemental information, which becomes part of this report, to assist the ~~reporting official~~ department chair in evaluating these activities.

After receiving the faculty activity reports, the ~~reporting official~~ department chair shall evaluate each faculty member's performance for the period. This evaluation will be based on the annual work report and merit, including contributions to the missions of the department, the J.B. Speed School of Engineering and the University. ~~The reporting official~~ department chair will make every effort to ensure uniform and professional standards in assessing the submitted documentation. Annual performance reviews will be based on a 1 to 6 rating scale system that defines performance as "not proficient (rating of 1 or 2)", "proficient (rating of 3 or 4)", or "exceptional (a rating of 5 or 6)". Overall annual performance reviews will be rated as "not proficient" (a rating of less than 3), "proficient" (a rating of 3 to less than 5) and "exceptional" (a rating of greater than or equal to 5). The ~~reporting official~~ department chair will also prepare a cover letter to the Dean.

Performance ratings of "not proficient" or "exceptional" must be explained in the cover letter, and performance ratings of "proficient" require no justification. If appropriate, the ~~reporting official~~ department chair

~~official~~department chair should acknowledge extraordinary effort and suggest improvements. When the annual review identifies weaknesses and/or deficiencies, the ~~reporting-official~~department chair's summary must include specific recommendations for improvement or for possible adjustments in workload concentration.

Each faculty member will meet with the ~~reporting-official~~department chair to discuss the evaluation. These meetings will be held by April 1. In the event a faculty member is dissatisfied with his/her evaluation, then the process is for the faculty member to attach a letter of rebuttal concerning the evaluation.

~~If requested by a faculty member, When all evaluations, meetings, and relevant letters have been complete~~ the ~~reporting-official~~department chair will forward ~~all evaluations, meetings, and relevant letters~~them, along with the annual work reports, to the departmental Faculty Activity Committee, ~~a committee appointed in each department as defined in Article 3~~. This Committee will look for serious disparities in evaluations and examine letters of rebuttal, and will discuss its findings with the ~~reporting-official~~department chair within two weeks of receipt of the materials. If concerns remain after this discussion, the committee and ~~reporting-official~~department chair will write separate letters to the Dean, who shall assist in resolving the committee's concerns before receiving the evaluations. Whatever the Committee's concerns and whatever their state of resolution when presented, the Dean has disposition authority for the matters under discussion.

The ~~reporting-official~~department chair's evaluations along with the annual work reports, relevant letters, and a summary report will be sent to the Dean, with appropriate copies to each faculty member, by May 1.

~~If requested by a faculty member, a~~ committee consisting of the non-student members of the Administrative Plans and Policies Committee and chaired by the Dean ~~shall will~~ review the performance evaluations for school-wide consistency. Evaluations of some ~~reporting-official~~department chairs may require adjustment to achieve this consistency.

The performance of ~~reporting-official~~department chairs will be evaluated as described above, but with the following differences:

The Dean will play the role of the ~~reporting-official~~department chair.

~~Reporting-official~~Department chairs' workloads and evaluations for a given year will center on the accomplishments of their administrative unit's mission and goals for the year. An annual faculty review of the ~~reporting-official~~department chair will be used as part of the evaluation.

Disagreements between the Dean and a ~~reporting official~~department chair regarding the ~~reporting official~~department chair's workload or evaluation will be resolved by the University Provost, if necessary.

Section 2.2 Criteria for Tenure

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 J.B. Speed School of Engineering at the time of promotion. Tenure may be recommended for persons whose initial appointment is at the rank of Associate Professor or Professor.

In normal circumstances, persons recommended for tenure shall hold the recognized terminal degree in their fields of specialization, or shall present evidence of having completed a body of research or other creative activity equivalent in scope and quality to the similar component of such degree. They shall meet the same General Criteria as well as the specific criteria for those appointed as Associate Professor or Professor, depending upon their initial appointments. All waivers or accords about credit toward tenure shall be stipulated in the Provost's letter of appointment.

A. Special Faculty

~~Individual criteria for a particular position may be prepared in letter form by the Dean of the J.B. Speed School of Engineering. To provide faculty input, the letter requires the approval of the PAT Committee. A letter from the individual accepting the terms is required. These letters will not form a part of this document, but will be maintained in the files of the Office of the Dean and the PAT Committee. Individual criteria must meet The Redbook and Minimum Guidelines document standards.~~

~~1. Graphics Faculty.~~

~~The following different criteria will be utilized for evaluating Graphics Faculty in recognition of their different objectives and educational preparation. The Master's degree is the terminal degree in accordance with Accreditation Board For Engineering and Technology (ABET) criteria. Other criteria will remain the same.~~

~~Performance in teaching is rated as the highest priority for evaluation, since good teaching is recognized as the principal objective for the Graphics Faculty. Hence, service and research and creative activity should be oriented to further this objective.~~

~~2. Cooperative Education Faculty~~

~~The following criteria will be utilized for evaluation of Cooperative Education Faculty in recognition of their different objectives and educational preparation.~~

~~— The Master's degree is the terminal degree for this category.~~

~~— Performance in service is rated as the highest priority for evaluation, and is recognized as the principal objective for the Cooperative Education Faculty. Hence, teaching, research and creative activity should be oriented to further this objective. Other criteria will remain the same.~~

~~3. Term Appointed Faculty~~

As cited in The Redbook (Sections 3.3.1 and 4.1.2.B) term appointed faculty positions are not eligible for tenure. Term appointed faculty shall meet the standards for probationary appointment to the designated rank and shall participate in annual and career reviews for the faculty of J.B. Speed School of Engineering. Further, term appointed faculty may apply for promotion in rank according to the criteria of Section 2.3 of this document.

AB. Pre-tenure reviews

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

A pre-tenure review will take place at the mid-point of a faculty member's probationary period. No later than October 1 of the academic year in which the review is to take place, the ~~reporting official~~department chair shall inform the faculty member, in writing, that the review is to take place. The ~~reporting official~~department chair is responsible for the review. All such correspondence shall become a part of the faculty member's documentation. In the event that an individual's career pattern does not fit the normal progression (i.e., 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 pre-tenure review.

The standard for a positive pre-tenure review shall be a determination that continuation of activity, as documented, is expected to fulfill the stated tenure criteria. In the event that the departmental evaluation is negative, the written evaluation must include recommendations to the faculty member for changing the situation documented in the course of the review.

Pre-tenure review shall involve an examination of activity in the areas outlined in "General Criteria.": Standards of judgment for the areas of activity shall be the same as those outlined in Section 2.3, and in departmental statements of criteria for tenure. For the purpose of pre-tenure review, extramural review is optional. This option may be exercised by either the faculty member or the departmental personnel committee. The record compiled for pre-tenure review shall be maintained intact as part of the evidence to be considered in tenure review.

BC. Evaluation for tenure

Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied to tenure. (This process is described in The Redbook, 4.2.2.H.) Completion of the probationary period with positive annual performance evaluations and pre-tenure review shall not in and of itself constitute sufficient grounds for tenure. 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.

If the recommendation of the University Provost, the Dean, or the chair of the department is negative 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 the action challenged.

CD. Proficiency for tenure

Possible methods for evaluating proficiency in teaching include, but are not limited to: publications in peer reviewed journals, monographs, textbooks, conference proceedings, etc., on teaching methodology; evaluation of teaching based upon student questionnaires, letters from current or former students, classroom visitations by chairs or colleagues, or comments spontaneously received by the chair; syllabi and course material; the submission of proposals and success in obtaining funding of research directed toward improved teaching methods and/or the acquisition of equipment and instrumentation to enhance teaching effectiveness.

Proficiency in research and creative activity may be evidenced by publications in peer reviewed journals, monographs, edited books, textbooks, conference proceedings, and technical reports; oral or videotape presentations; computer software; the submission of proposals and success in obtaining funding of research directed toward the discovery of new knowledge. Publications of all kinds directly provide this type of evidence. Oral presentations may be evaluated in writing for the file by witnesses. Research in progress should likewise be documented by a colleague.

Proficiency in research also may be evidenced by any forum that demonstrates effectiveness in linking knowledge across fields of specialization. This would include presentations; computer courseware; public speeches, and television presentations. Proficiency in research and creative activity may also be evidenced by: publications in peer reviewed journals, monographs, textbooks, conference proceedings, etc., on teaching methodology; and the submission of proposals and success in obtaining funding of research directed toward improved teaching methods and/or the acquisition of equipment and instrumentation to enhance teaching effectiveness.

Additional evidence may be documentation of how faculty members have shared their expertise with the University, profession, or community, regardless of the method of compensation, if any. Such documentation would include and the submission of proposals, with success in

obtaining funding, for research directed toward making knowledge useful as a guide for policy or practice. It is imperative that the quality as well as the quantity of the research be considered. External review of research is required as specified in the Minimum Guidelines (Section IV.D.5).

Evaluations of service should be done like those of teaching and research to the extent possible. Most commonly, service does not automatically produce documentary results. Thus, written statements by witnesses, the people or organizations benefiting from the service, or colleagues evaluating such service may be obtained. Also included would be any products resulting from service activities along with evidence regarding the nature of the candidate's contribution. Minor activities, such as committee work of short duration, should have a less formal, aggregate evaluation.

~~Faculty members are expected to collaborate with colleagues and students. Faculty members are expected to adhere to statements of professional behavior and to the Engineers' Code of Ethics.~~

Section 2.3 Criteria for Promotion in Rank

The General Criteria and the following specific criteria represent the minimum levels of achievement for promotion to the following ranks:

Associate Professor - In order to be promoted to the rank of Associate Professor, the candidate shall have shown evidence of having attained proficiency in teaching, research, and service. The evidence of proficiency must include extramural evaluation as specified in the Minimum Guidelines (Section IV.D.5).

Professor - In order to be promoted to the rank of Professor, the candidate shall have shown evidence of (a) having maintained proficiency in teaching, research, and service; (b) superior achievement in at least one of the three areas, consisting of teaching, research, and service; and (c) having achieved professional recognition. The evidence of achievement in research, and the evidence of professional recognition, must include extramural evaluation as specified in the Minimum Guidelines (Section IV.D.5).

Achievement of these minimum levels does not imply that a promotion must be made. The level of performance above the minimum must be considered as well as the general criteria listed above. Candidates should be considered individually and not in competition with others. Seniority (normally six years in rank) is a consideration for all promotions, but lack of seniority alone shall not be grounds for a negative recommendation.

Term faculty may apply for promotion in rank according to the criteria of the J.B. Speed School of Engineering. The resulting promotion reviews will be based upon the same

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documentation, standards, and schedule used for probationary or tenured faculty at the same rank. However, term faculty promotion assessment will be proportionately based upon performance only in the areas (i.e., teaching, research/creative activity, and/or service) established in their annual work plans in effect during the review period.

_____ For promotion to a given rank, the number of faculty in that rank, or the number of candidates for that rank, either in the department or the school, should not work to the detriment of the faculty member being considered for promotion. In addition, the gap between the salary of the faculty member being recommended and the average salary of the next higher rank should not work to the detriment of the faculty member. Where feasible, promotion to the rank of Associate Professor should be synchronized with the award of tenure, although these may take effect in different years.

Section 2.4 Periodic Career Review

Periodic career review includes pre-tenure review, review for tenure and/or promotion to Associate Professor, promotion to Professor, and other performance reviews conducted on a five-year cycle as defined below. Annual reviews of each faculty member shall be made available as part of the periodic career review.

Faculty members with tenure shall undergo a career review in every fifth year of service. When the review period ends in a sabbatical or other leave, the career review shall be deferred until the next academic year. A promotion shall replace a career review for the period in which the promotion occurs.

A. Faculty with Tenure Contract Review

All faculty shall be evaluated annually according to the J.B. Speed School of Engineering Performance Based Salary Increase (PBSI) policy as described in Section 2.1. In addition, all faculty shall undergo periodic career review to evaluate their contribution to the University, J.B. Speed School of Engineering and Departmental missions. These reviews shall promote the continued professional development of the faculty member reviewed. The J.B. Speed School of Engineering assumes that faculty will ordinarily discharge their professional responsibilities by proficient performance in all areas of scholarship as specified in "General Criteria" and in accordance with their annual work plans. Such holistic judgments should be made in the context of departmental mission. The periodic career review process is intended to confirm this assumption by examination of evidence and reviews compiled over a five-year cycle for faculty with tenure and over a three-year cycle, coincident with contract renewal, for term faculty. In those unusual cases where this assumption is shown to be mistaken, the review process provides mechanisms to support the faculty member by returning performance to or above the level of proficiency specified in the departmental guidelines and required by the J.B. Speed School of Engineering.

Copies of all evaluations, including any forms used, and all letters written by ~~reporting~~ ~~official~~ department chairs, committees, individual faculty, or the Dean as described in this document shall be forwarded to the Office of the Dean, where they will be kept in a master file for J.B. Speed School of Engineering. Files for an individual will be maintained until the individual's next periodic career review is completed.

The main purpose of a Stage 1 review is to identify those few faculty members whose performance is not satisfactory, and to facilitate a more extensive review and remedial plan, as needed. Stage 1 reviews also provide an additional mechanism to identify those faculty members whose performance is consistently superior during their five-year review period.

Stage 2 reviews are of two types. One, Stage 2a, describes review procedures to be followed when a faculty member has been identified as “unsatisfactory: not meeting department criteria” during Stage 1. The second, Stage 2b, describes review procedures for those faculty members whose performance is consistently superior and who would like to be considered for supplemental merit raises.

B. Periodic Career Review: Stage 1

Each department will develop a statement of expectations for “proficient performance” by tenured faculty. This statement will then form the basis for periodic career reviews. Statements will be reviewed by the Dean to insure consistency with the mission of the J.B. Speed School of Engineering. After approval, each department will submit the statement to the Promotion and Tenure Committee so that Stage 1 and Stage 2 reviews will have a contextual framework.

Annual reviews and the documentation supporting them will be used as the evidentiary base for periodic career reviews. The department Faculty Activity Committee, a committee appointed in each department as defined in Article 3, will review the five prior annual reviews. If a faculty member has five satisfactory reviews, the department Faculty Activity Committee will forward a current curriculum vita, a recommendation and summary of their examination of the record reviewed to the department chair. The chair will review this material and send the summary and the chair’s recommendation to the J.B. Speed School of Engineering Promotion and Tenure Committee. This committee will review materials provided by the department, and forward their recommendation to the Dean. The review will then be complete, and the next five-year cycle will begin.

Under ordinary circumstances, proficient performance in teaching, research and scholarly activity, and service, specified in the annual work plan, will be expected; however, the policy allows for some variations in proficiency, which may arise from new teaching assignments, the initial development and preliminary stages of research, projects, or unusual service obligations. Therefore, if a faculty member has one unsatisfactory review during the five-year period, the departmental Faculty Activity Committee and chair will conduct a Stage 2A review to identify problems.

These recommendations of the Faculty Activity Committee and chair will be forwarded along with the summary of the review period to the J.B. Speed School of Engineering Promotion and Tenure Committee. The documentation supporting the recommendation, for instance, PBSI letters and the evidentiary base from which they were written, will be made available to the J.B. Speed School of Engineering Promotion and Tenure Committee if requested. The J.B. Speed School of Engineering Promotion and Tenure Committee will review summary materials and other requested documentation, and forward their recommendation for Stage 2 review to the Dean.

C. Periodic Career Review: Stage 2a

Stage 2a review will focus on tenured faculty selected for review during Stage 1 as not having met expected performance criteria. In general, the purpose of this review is to provide useful feedback and appropriate intervention and assistance to these faculty members.

The department chair will inform those selected for Stage 2a review. The faculty member will compile 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 plans for the past five years; (3) Stage 1 documentation and recommendations. Other evidence supporting areas of activity as listed in "General Criteria" 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 outlined in Section 2.5.B.

The Faculty Activity Committee will review all documentation and reviews and make a recommendation to the department chair. This recommendation can either state that the Stage 2A review is unwarranted, based on their professional judgment concerning the nature of the deficiencies and reasons for them, and that the faculty member is proficient, or that the Stage 2A process should continue. In all cases, the purpose of this review is to identify weaknesses, and make recommendations for their correction. Therefore, 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 J.B. Speed School of Engineering Promotion and Tenure Committee should be provided with copies of the department expectations for proficient performance, so that the J.B. Speed School of Engineering assessments can be balanced against those. This procedure must not conflict with The Redbook (Section 4.2.4.A.2).

Because its purpose is developmental, not punitive, 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 to the documentation provided by the departmental committee in writing and, with the faculty member, develop a specific plan to overcome deficiencies. This plan will identify the specific weaknesses, define specific expected outcomes, outline the activities that will be taken to correct deficiencies, set

timelines for accomplishing this work, and specify how the new activities will be monitored and assessed. The Redbook specifies (Section 4.2.4.A.2) that this plan is for one year unless the Dean approves a longer period.

All documentation will be forwarded to the J.B. Speed School of Engineering Promotion and Tenure Committee for review, and their recommendation that the plan be accepted, modified, or rejected will be sent to the Dean. The Dean will give final approval to the plan.

The faculty member's plan will be monitored as part of the annual review. If the faculty member has not achieved the stated goals of the plan within one year, and is again evaluated as "unsatisfactory: not meeting unit criteria," the documentation will be sent to the Dean for appropriate action.

A faculty member can appeal this process, if and only if the disagreement meets at least one of the four causes stated in The Redbook (Section 4.4.3).

D. Periodic Career Review: Stage 2b

Stage 2b will focus on review procedures for faculty members whose performance is consistently superior and who would like to be considered for supplemental merit raises. The purpose of this review is to assess the appropriateness of performance-based salary increase awards over a longer period than annual reviews permit. Where evidence of outstanding performance over a long period warrants, reviewing bodies may recommend a supplementary salary increase to reward career demonstrations of professional excellence.

A faculty member may initiate a Stage 2b review by informing his/her departmental chair, or such a review may be initiated by the department chair or departmental Faculty Activity Committee. 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) PBSI reviews and annual work plans for the past five years; (3) Stage 1 documentation and recommendations. Other evidence supporting areas of activity listed in "General Criteria" might 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 J.B. Speed School of Engineering Personnel Policy.

The department Faculty Activity Committee and chair will review the documentation and make a recommendation. This, and all relevant documentation, will be forwarded to the J.B. Speed School of Engineering Promotion and Tenure Committee for their recommendation. All documentation will be forwarded to the Dean for a final recommendation and approval.

A faculty member can appeal this process, if and only if the disagreement meets at least one of the four causes stated in The Redbook (Section 4.4.3).

E. Periodic Review of Graduate Faculty Status

Departments will periodically review the performance of their Graduate Faculty members. Procedures for this review will coincide with those of the periodic career review within the Department and shall be conducted at the same time with the same Departmental criteria. Recommendations from the Department Chair will be made to the Associate Dean of Academic Affairs concerning continuance or changes to the Graduate Faculty status. The Associate Dean will approve recommendations for changes.

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Section 2.5 Procedures for Promotion and Tenure

A. Overview

The faculty member, ~~administrative officer~~department chair* or department Promotion and Tenure (PAT) Committee chair who initiated the review for promotion or tenure shall be responsible for compiling the evaluation file. Individuals under review may include any material they wish in their file, however, summaries should be substituted for voluminous material. The ~~administrative officer~~department chair and other reviewers within the J.B. Speed School of Engineering may also include other materials as long as they are made available to the individual and previous reviewers so that prior recommendations may be reconsidered.

Tenure and promotion files must be compiled with the aid of the faculty member under review and the faculty member must be able to add evidence at any time before the file is advanced to the University Provost (The Redbook 4.2.H.4). A faculty member must be permitted to see, copy, and respond to the material in his or her promotion and/or tenure file with the names and affiliations of the evaluators masked.

A faculty member may request only one evaluation for early tenure.

~~* The terms "administrative officer", "chair", and "chairperson" hereafter are meant to be equivalent. However, it is necessary that the Dean designate someone to assume this role for non-departmental faculty.~~

As previously stated, departmental faculties may develop individual procedures for processing promotion and tenure recommendations. If they do not, the general procedure in this paragraph will be used. The departmental tenure committee will consist of those faculty in the

department who have tenure. The departmental promotion committee will consist of the faculty of higher rank than the individual under consideration. The recommendations of these committees will speak for the departmental faculty on the respective matters. Departmental faculty should take special care to review the individual's file and not assume that they are familiar with all of the person's work.*:

After the departmental faculty have made their recommendation, the chair will make a recommendation and will forward the file to the Promotion and Tenure (PAT) Committee. The committee will add its recommendation to the unit file and will forward the file to the Office of the Dean. The Dean of the J.B. Speed School of Engineering will add a recommendation and will forward the file to the University Provost. A faculty member has the right, as provided in The Redbook (Section 4.2.2.H.4), to rebut any recommendation at the time it is placed in the file, or before it is advanced to the provost.

B. Support Data for Recommendations

Promotion and tenure recommendations at all levels shall be based on documented facts and written opinions. Data should be quantified where appropriate. Such evidence should permit recommendations on the most objective basis possible. Recommendations shall be in written form and presented with a clear and concrete explanation supported by the evidence in the evaluation file.

The evaluation file shall include at least five reference letters from qualified persons who are familiar with the candidate's professional performance. At least two letters must be from sources not suggested by the candidate. However, the candidate must approve the use of any individual as a referee and may insist on the inclusion of reference letters from anyone. The candidate's approval of individual referees must be sought at least one week prior to contacting the referees. When letters of reference are requested, internal and external referees must be warned that they will not have anonymity, although their names and affiliations will be masked to the candidate. The faculty member under review may respond to these external reference letters. At least two external reviews are to be included.

All evidence used as support data must be unbiased and capable of providing a defensible measure of proficiency as outlined in Section 2.2.D. The choice of methods is delegated to the individual and the department with the following constraints. It is undesirable that comments spontaneously received by the chair be given undue weight. Further, the results of a school-wide questionnaire system developed by the Instruction and Learning Committee and approved by the faculty must be a part of the evaluation. These questionnaires must be gathered and tabulated under secure conditions. While the questionnaires are not to be released except to the individual and the department chair, a summary of the results, developed jointly by the chair and the individual, will form a part of the file used for promotion and tenure evaluations. The questionnaires themselves are considered to be too voluminous for inclusion in the file. Other aspects of instruction such as advising of students, thesis and dissertation supervision, etc., should also be considered.

C. Responsibilities and Authority

The PAT Committee shall serve as the representative faculty body on all matters pertaining to promotion, tenure, and when necessary, career review. When appropriate, it will advise the Dean and the faculty and prepare courses of action.

** Faculty who have appointments in more than one department should be evaluated by each department.

The committee will function in an advisory capacity. None of its recommendations for promotion, tenure, or career review will be considered binding on the Dean. The committee members have the right to bring before the committee any matter relating to promotion, tenure, and career review. The committee has the right to obtain information as complete as possible on any matter brought before it. The committee shall obtain all available information required by The Redbook about a candidate for promotion, tenure, or career review.

The committee shall base its recommendations on a comparison of the record of accomplishment in the evaluation file to the criteria which appear in The Redbook, this document, and their addenda. Members should not act as advocates for any person or constituency, but rather as judges of the meeting of criteria. It should be emphasized that salary information relative to the individual and to the rank to which the individual is being recommended will not be considered by the committee since it is irrelevant to the criteria for promotions, tenure, and career reviews.

The committee shall grant a hearing to any faculty member on matters pertaining to promotions, tenure, and career reviews.

The committee meetings shall be held strictly confidential and the committee's recommendations will be given only to the Dean, the individual affected by the recommendation, and his or her ~~administrative officer~~department chair. The recommendation will also become a part of the promotion, tenure, and career review file.

The committee shall act on any claim for promotion, tenure, or career review brought before it by a faculty member or his/her ~~administrative officer~~department chair. Self initiation of the claim shall not work to the detriment of the candidate. However, the committee will not act upon a request for promotion, tenure, or a career review evaluation without prior referral to the appropriate departmental faculty committee and ~~administrative officer~~department chair for recommendations. Such recommendations must be made in a timely manner.

The committee shall, with the concurrence of the individual involved, initiate similar promotion review for any faculty member it deems deserving of such review, if such action is not initiated from another source.

Whenever a promotion, tenure, or career review evaluation must be made for a member of the PAT Committee, that member shall resign and be replaced according to J.B. Speed School of Engineering Bylaws.

Candidates for promotion and tenure may challenge the participation of no more than two members of the PAT committee. If a majority of the remaining members agree that the challenged members are prejudiced against the candidate, the challenged members shall not participate in the recommendation.

D. Schedule for Promotion and Tenure

Dates given should normally be followed unless circumstances warrant alterations. The majority of the cases considered by the committee relates to promotion effective on July 1; tenure dates are set by the individual's appointment. Steps in the evaluation procedure are described below and begin on September 15. Each year, after the Central Administration has notified the Dean of the final date for receiving the files of nominees from J.B. Speed School of Engineering, a schedule will be set for the remaining evaluation steps. The Dean shall formulate the schedule in consultation with the Promotion and Tenure Committee and Department Chairs. The schedule will be published no later than September 15.

Promotion and early reviews for tenure may not be stopped except with the permission of the faculty member involved.

The PAT committee will receive memoranda from ~~administrative officer~~department chairs indicating the names of faculty members who are under consideration for promotion or tenure by the departmental faculty. A copy of the memorandum will also be transmitted to the Office of the Dean, and to the individual faculty member under consideration.

The committee will receive memoranda from all faculty members who plan to submit claims for promotion or tenure on their own behalf. A copy of the memorandum will also be transmitted to the Office of the Dean, and to the appropriate ~~administrative officer~~department chair.

The committee will issue memoranda to the appropriate ~~administrative officer~~department chair indicating that it plans to initiate a promotion review. A copy of the memorandum will also be transmitted to the Office of the Dean and to the concerned faculty member.

The committee will forward a complete evaluation file to each appropriate ~~administrative staff officer~~department chair for cases initiated by the PAT Committee or by the individual under consideration.

A copy of the memorandum of transmittal shall also be forwarded to the Office of the Dean and to the faculty member.

If the PAT Committee has not received a complete evaluation file from subject claimant prior to the cutoff date, the committee will transmit a memorandum to that effect to the appropriate ~~administrative officer~~department chair, to the Office of the Dean and to the individual faculty member concerned.

The committee will receive all evaluation files initiated by ~~administrative officer~~department chairs. A separate confidential copy of both the recommendations of the departmental faculty, and of the chair will be forwarded to the individual faculty member.

The committee will have returned to them by the ~~administrative officer~~department chairs all evaluation files which had previously been channeled through the PAT Committee by claimants for self-initiated promotion or tenure, or which had been initiated for promotion review by the PAT Committee. A separate confidential copy of both the recommendations of the departmental faculty, and of the chair will be forwarded to the individual faculty member. The Office of the Dean will not be informed of either the departmental faculty's or chair's recommendations at this juncture, but shall receive a copy of the letter of transmittal.

The committee will make its recommendations on the nominations and claims for promotion and tenure, and will forward the evaluation file to the Office of the Dean. A confidential copy of their recommendation will be forwarded to the individual faculty member under consideration and to the appropriate ~~administrative officer~~department chair.

The committee will be advised by the Dean of all actions taken on the committee's recommendations, and will be given an opportunity to respond for placement in the file before it is sent to the University Provost.

Each individual being considered for promotion or tenure will receive a confidential copy of the Dean's recommendation to the University Provost. The appropriate ~~administrative officer~~department chair will also receive a copy.

The Dean will forward the files to the University Provost.

It is recognized that in certain cases a nomination or a claim for promotion or tenure which is to be effective at a time other than July 1 may be received by the committee. In such cases, the committee will make its recommendation within two months from the date it receives the nomination or claim. One month after the committee's recommendation is made, the Dean will inform in writing the committee, the faculty member, and his or her ~~administrative officer~~department chair of the Dean's recommendation.

Article 3. Conditions of Faculty Employment

The performance of each faculty member shall be evaluated in accordance with the annual review. The goals of these reviews are to reward performance in the short term, to reinforce desirable patterns of career advancement, and to foster the development of excellence in J.B. Speed School of Engineering. Performance evaluations shall be based on merit, including contributions to the missions of the department, J.B. Speed School of Engineering, and the University.

During the spring semester of each calendar year, each full-time faculty member shall develop an annual work plan that describes the distribution of effort planned for the calendar year. Evaluations of performance must be made in accordance with annual work plans.

Every faculty member under review for a Performance Based Salary Increase (PBSI), upon being informed in writing of the recommendation at any stage of the review, may enter rebuttals in writing.

Each department ~~and the non-departmental faculty~~ shall have a Faculty Activity Committee consisting of at least three tenured faculty who are not administrators. This same committee will be referred to as the Departmental Faculty Activity Committee in this document. However, no person may participate during deliberation of his/her own case. Each department should develop a method for alternate selection, when needed.

The J.B. Speed School of Engineering Promotion and Tenure Committee will act as the school-wide Committee on Appeals. Any faculty member may request a review by the Promotion and Tenure Committee of the Dean's decision on a PBSI review. The result of that review will then be forwarded to the Dean as a recommendation.

Dates given in this section should be followed unless circumstances warrant their change.

Section 3.1 Annual Work Plan

In December of each year the ~~reporting official~~ department chair provides his or her faculty with a list of proposed instruction and other duties for the upcoming calendar year. Each faculty member then drafts an annual work plan agreement and submits it to the ~~reporting official~~ department chair by January 31. This plan shall define faculty activity based on teaching, research, and service. Evaluations must consider only those areas of activity for which the approved annual work plan indicates a faculty member's responsibility.

Annual work plans shall be initiated in the department where the faculty member holds primary appointment. For faculty appointed to administrative positions ~~and non-departmental~~

~~faculty~~, annual work plans will be negotiated with the Dean or his/her representative and the individual.

By March 1, the ~~reporting-official~~department chair shall evaluate the annual work plans and meet with each faculty member to negotiate a mutually agreeable plan. The plan should describe the faculty member's role in carrying out the mission and goals of the department while seeking to accommodate the individual's professional goals. If the ~~reporting-official~~department chair and faculty member cannot agree on a common annual work plan, the ~~reporting-official~~department chair will submit a plan, and the individual may choose to attach a letter stating and explaining points of disagreement. This attachment becomes an integral part of the annual work plan.

When all annual work plans have been completed, the ~~reporting-official~~department chair will forward them to the Faculty Activity Committee. The committee will look for serious disparities in workload and examine letters of disagreement and discuss its findings with the ~~reporting-official~~department chair within two weeks of receipt of the plans. If concerns remain after this discussion, the committee and ~~reporting-official~~department chair will write separate letters to the Dean, who shall assist in resolving the committee's concerns before receiving the annual work plans. Whatever the committee's concerns and whatever their state of resolution when presented, the Dean has disposition authority for the matters under discussion.

Annual work plans may be revised during the year by mutual agreement, and should be revised if a significant change in a faculty member's situation occurs.

In every personnel action, the accomplishments of the faculty member shall be reviewed against the background of the agreed upon distribution of effort for each year of the period under review. Accomplishments in proportion to the allocation of effort to each area of activity shall be required.

Annual work plans must be consistent with the program needs of Speed School and its departments, and fall within the limitations imposed by the budget.

The distribution of effort shall be expressed in terms of percent of effort allocated to each activity as defined in "General Criteria". The standard, in comparison to which the allocation of effort to any activity shall be estimated, is that normally a three-credit-hour lecture course requires ten percent of the work load of a faculty member on twelve month appointment. To allocate other than ten percent to a three-credit-hour course, or to allocate other than in proportion to this standard for courses carrying fewer or more hours of credit, shall require justification acceptable to the Dean. Each faculty member in full-time status for the year must account for 100 percent of a full work load by allocation of effort, in some combination, in the areas of activity listed in "General Criteria". Justification for allocations of effort shall take the form of listing the activities (e.g., courses to be taught, committee assignments, etc.).

All approved annual work plans shall respect both the individual faculty member's need to shape his or her own career and the School's various needs, and shall accordingly permit or require the faculty member to perform various functions at different stages in his or her career. In order to achieve this flexibility, a policy shall be applied to all tenured faculty in Speed School with appropriate adaptations when necessary to reflect Speed School's specific needs.

Subject to ordinary review, and to curricular and budgetary constraints, the allocation of effort for a specified period to special projects consistent with the objectives of the School shall be accommodated. Examples of such projects are: carrying a research project through some critical stage; completion of a significant writing project; special assignments in the area of course or curriculum development; or a career development program associated with periodic career review. In all such cases, the allocation of effort to such projects should be reflected in the plan, and such concentration should not work against the interest of the faculty member in salary considerations. In cases where grant or contract funds are used to pay a part of the base salary, the whole base salary obligation, including any increased allocation to any category, shall be shown on the agreement.

Section 3.2 Compensation

If there are funds for salary increments beginning July 1 of the year, merit increments for all faculty shall be subject to the following guidelines:

Faculty whose overall performance is proficient or better shall get a nonzero salary increment.

Increments should be based on a cumulative performance that takes into account the performance for the two preceding years as well as that for the current year, with the current year counting no less than previous years.

After distribution of PBSI funds to departments, awards to individuals will be made according to the approved departmental policy. No departmental policy shall be implemented until approved by the Dean.

In the event a faculty member is dissatisfied with his/her salary increment, the faculty member may submit a letter of appeal to the chair who must forward this to the Dean. The Dean has dispositional authority.

Departmental or unit performance assessments will be a significant factor in determining salary increments for ~~reporting official~~ department chairs who administer departments and academic support units, but will not be used in determining salary increments for faculty. Salary increments

for faculty will be based solely on how well the individual contributed to the department or unit mission as reflected in that person's evaluation.

Faculty who have outstanding post-tenure periodic career reviews but have not received the designated supplemental salary increases will receive the supplement.

The Dean will inform each faculty member in writing of his or her final performance evaluation and salary increment and, if appropriate, specific suggestions for improvement. An attachment to this will describe the procedure used to determine salary increments and the distributions of performance evaluations and salary increments for all Speed School faculty.

In years when funds for salary increments are budgeted, an individual's recommendation by the Dean for no salary increase must be submitted to the Provost for approval, and must include reasons for performance considered to be unsatisfactory, as well as specific suggestions for improving performance.

Article 4. Amendments

Amendments to this document must be approved by the J.B. Speed School of Engineering faculty. The vote will be made by mail ballot after discussion at a faculty meeting. Approval requires two-thirds of those voting but no less than a simple majority of all the faculty.

Appendix

A. Purpose

The Redbook requires units to adopt policy and procedure documents on faculty appointment, promotion, tenure, as consistent with its Minimum Guidelines. This document is intended to fulfill that requirement.

B. Scope

The criteria and procedures in this document apply on a school-wide basis, except that established departments may adopt procedures compatible with this document for processing their evaluations and recommendations. When, and if, such departmental procedures are developed, they should be made an addition to this document. ~~J.B. Speed School of Engineering faculty not in an established department may vote to establish a (single) similar addendum for faculty at large.~~

C. Definitions

1. Teaching

Teaching includes all work that involves the use of the faculty's expertise to communicate subject matter to students. The essential element of teaching is the didactic relationship between teacher and students. Good teaching also involves the ability to interact effectively with students. Pedagogical procedures must be carefully planned, continuously examined, and directly related to the subject taught. Good teachers stimulate active, not passive, learning, and encourage students to be critical, creative thinkers with the capacity to go on learning after their college days are over.

2. Research and Creative Activity

For most faculty, research, basic or applied, is delving into some question in that faculty member's field and seeking to add to the reservoir of knowledge. Such endeavors not only result in the creation of knowledge, but also invigorate student-faculty relationships inside the classroom and out. Research includes the act of knowledge creation through the publication or dissemination of original or innovative theoretical, empirical, or creative work. The intellectual excitement and progress that are generated by research are vital to a university such as ours.

Research also means making connections across the disciplines, placing the specialties in a larger context, illuminating data in a revealing way, and/or educating non-specialists. There is a need for scholars who give meaning to isolated facts by putting them in perspective. Research is also serious, disciplined work that seeks to draw together, interpret, and bring insight to bear on new developments.

Research also occurs when one applies information, interpretation, or techniques characteristic of one's discipline to consequential problems in the real world. The key to defining application is that the activity must be tied directly to one's special field of knowledge and relate to one's professional activity.

As a scholarly enterprise, teaching begins with what the teacher knows. Those who teach must be, above all, well informed, and steeped in the knowledge of their fields. Hard work and serious study underpin good teaching. Good teaching means that faculty, as scholars, are also learners. Research and creative activities aimed at teaching involve not only transmitting knowledge, but transforming and extending it as well.

3. Service

Service is the application of general academic expertise that results from experience as a university educator, as when one participates in faculty governance within the university or when service activities outside the university are linked to one's general academic expertise. Service is distinguished from research in that service does not require that the activity be related to one's area of professional expertise. Additionally, service does not include activities that one might engage in as a citizen of a civic community, but is restricted to those activities required by the students, department, college, university or profession.

4. Tenure

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 termination as provided in Section 4.5.3 of The Redbook. Tenure is granted in an academic unit in accordance with the procedures established in Section 4.2.2.H of The Redbook.

5. Proficiency

Whenever used in this document, the word "proficient" shall be understood to mean "to satisfy capably all the special demands or requirements of a particular situation, craft, or profession."

RECOMMENDATION TO BOARD OF TRUSTEES

Personnel Committee - January 13, 2011
Board of Trustees – February 8, 2011

The President recommends:

That the following personnel recommendations be approved by the Board of Trustees.

COLLEGE OF ARTS AND SCIENCES

Wendy E. Pfeffer, Ph.D., Professor of Classical and Modern Languages; promotion from Assistant Dean to Associate Dean of Graduate Education, July 1, 2011. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

SCHOOL OF MEDICINE

Mostafa Fraig, M.D., Professor of Pathology and Laboratory Medicine (Term) and Professor of Medicine (Pulmonary, Critical Care, and Sleep Disorders Medicine) (Term); additional appointment as the William M. Christopherson Endowed Chair in Oncologic Pathology, March 1, 2011.

ADMINISTRATION

Donald G. Rizzo, M.S., Bradley University; Associate Vice President for Development, February 8, 2011. The appointment as Associate Vice President is at the pleasure of the Board of Trustees.

RECOMMENDATION TO BOARD OF TRUSTEES

February 8, 2011 (Personnel Committee)
February 8, 2011 (Board of Trustees)

The President recommends:

That the following personnel recommendation be approved by the Board of Trustees.

ADMINISTRATION

Ann L. Coffey, B.A., University of Kentucky; Senior Executive Director of Advancement Operations, February 8, 2011. The appointment as Senior Executive Director is at the pleasure of the Board of Trustees.

Shannon Raye Turner, J.D.; termination of appointment as Assistant Vice President for Health Affairs, February 1, 2011.

**RECOMMENDATION TO THE BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE
NOMINEES FOR ALUMNI FELLOWS AWARD FOR 2011**

**Personnel Committee – February 8, 2011
Board of Trustees – February 8, 2011**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the following nominees for Alumni Fellows Award for 2011 as recommended by the Alumni Association:

- College of Arts and Sciences – Jane Greenebaum Eskind**
- College of Business – Robinson S. Brown, III**
- School of Dentistry – Robert McGuinn, D.M.D.**
- College of Education & Human Development –Maj. Kent Solheim**
- J.B. Speed School of Engineering – Yung T. Nguyen**
- Kent School of Social Work – Dr. Alfonso Batres**
- Louis D. Brandeis School of Law – Howard Fineman**
- School of Medicine – Dr. Larry Cook**
- School of Music – Terry Cravens**
- School of Nursing – Charlotte Ipan**

BACKGROUND:

The most prestigious award given by the Alumni Association, the Alumni Fellows Awards are bestowed upon select alumni, who, as leaders in their fields, are nominated by an academic unit. Upon being named, the Alumni Fellow is invited by the president to return to campus and share his expertise with students, faculty, and staff. A background summary is attached.

COMMITTEE ACTION:

Passed: _____
Did Not Pass: _____
Other: _____
Date: _____

BOARD ACTION:

Passed: _____
Did Not Pass: _____
Other: _____
Date: _____

Assistant Secretary

Assistant Secretary

2011 Alumni Fellows Nominations by School

College of Arts and Sciences – Jane Greenbaum Eskind

The first woman to win a statewide election in Tennessee, Jane G. Eskind was raised and educated in Louisville, Kentucky. She attended Brandeis University, married Richard Eskind, completed her undergraduate degree at the University of Louisville, and settled in Nashville in 1956. Following the birth of a daughter, Ellen, and a son, Billy, Eskind commenced an activist career as lobbyist for the Tennessee League of Women Voters from 1964 to 1969. She became a Democratic Party activist after deciding the nonpartisan position of the League hindered its efforts. From her beginnings as a campaign worker and member of the Democratic Women's club, her participation in party matters accelerated in the 1970s. In 1972 and 1976 Eskind represented Tennessee on the Democratic National Platform Committee. In 1974 she was elected to the Democratic State Executive Committee. Eskind made her first bid for public office in 1978, and by winning the Democratic primary for the U.S. Senate seat held by Republican Howard Baker Jr., she became the first woman to win either the Democratic or Republican nomination for statewide office. She did not defeat Baker in November.

In 1980 Eskind won a seat on the Public Service Commission, the first woman to win a statewide election in Tennessee. She later served as commission chair. In the 1986 Democratic primary for governor, Eskind placed second behind Ned McWherter, and in a 1987 special election she made an unsuccessful bid for Congress. In 1994 she became the first woman to chair the Tennessee Democratic Party. Within the party, Eskind has also been president of the Democratic Women's Club, a member of the Democratic House and Senate Council, the Tennessee Democratic Finance Council, the National Finance Committee, and the National Finance Council for President Clinton. She sat on the board of the Tennessee Federation of Democratic Women and functioned as a trustee of the National Victory Fund.

Over the last two decades, Eskind has served on committees of the Anti-Defamation League, the International Women's Forum, and as a charter member of the Women Executives in State Government. She also chaired the Tennessee Commission on the Status of Women from 1978 to 1980. More recently, she has been named trustee to the Vice-President's Residence Foundation and to the Brandeis University Board of Trust. A Nashville resident, she has provided time and energy to many groups and at present sits on the boards of Tennessee Tomorrow and NashvilleREAD and advises Nashville Cares, the Legal Aid Society, the Nashville Institute for the Arts, the League of Women Voters, the Kelly Miller Smith Institute on African American Church Studies, and New Leadership South, among other institutions. She has raised money for numerous not-for-profit groups and has received recognition and awards from various quarters.

College of Business – Robinson S. Brown, III

Robinson S. Brown III (Robbie) represents a very special breed of College of Business supporters: those who have reconnected with the college as a result of exceptional academic experiences enjoyed by their offspring.

When Robbie's son Robinson IV participated and excelled in the college's signature Entrepreneurship MBA program—including winning regional business plan competitions as part of a MBA student team—Robbie and his wife Libby took the lead in generating support and sponsorship for the college to host a national business plan competition. Today the competition they helped spark—The UofL Brown-Forman Cardinal Challenge—is recognized as one of the nation's finest new business concept competitions, and is a qualifying event to the international 'Super Bowl' of competitions, the Venture Labs Investment Competition (formerly Moot Corp.) They and other members of the Brown family continue to support the competition, which is now in its fourth year.

Due in part to their participation in the Cardinal Challenge and subsequent competitions, College of Business entrepreneurship students have since distinguished themselves in international competitions, regularly sharing honors with the finest entrepreneurial programs in the world.

Prior to his participation in the entrepreneurship program, Robbie—a two-degree graduate of the college—focused his giving on Prodigal Ministries, a second-chance program for prison inmates. His quiet manner and unassuming generosity belie the significance of his support and the tenacity of his commitments.

School of Dentistry – Robert McGuinn, D.M.D.

Dr. McGuinn has always been a contributing member to the Hinman Dental Society. This Atlanta based organization is one of the nation's most active in and well known organizations for providing continuing education for oral health providers and supporting dental education. In regards to the latter, Bob has always supported his *alma mater*, the University of Louisville School of Dentistry. Besides covering the cost of two of the teaching stations in the School's innovative Simulation Clinic, he and Penny have created and are funding endowments to provide scholarships for students from the state of Georgia; an annual cash award to a faculty member who has excelled in teaching; and funding to support dental students' annual "senior trip" to the Hinman Meeting. Dr. McGuinn is married to Penelope A. McGuinn; and has two daughters, Shaun McGuinn and Leslie M. McGuinn, D.M.D. He takes special pride and joy in witnessing his daughter Leslie following in his footsteps and becoming a Louisville dental graduate - Class of 2007.

Bob McGuinn is a unique individual and alumnus who contributes to the lives and futures of the people and things he loves. No one is more deserving of being named a University of Louisville Alumni Fellow.

College of Education & Human Development –Maj. Kent Solheim

Maj. Solheim received his B.S. in Occupational Training and Development in 2002 and his M.S. in Human Resource Education in 2008 from the University. He earned a Silver Star for his bravery during Operation Volcano II, the successful mission to capture a senior leader of the infamous Shiite militia, the Mahdi Army. He saved dozens of lives during the operation, but in the process lost his right leg.

He has also been awarded a Bronze Star Medal with two Oak Leaf Clusters, Purple Heart Medal, Meritorious Service Medal, and Army Commendation Medal with three Oak Leaf Clusters.

He and a fellow Green Beret participated in 12 Hours of Santos, an ultra endurance mountain bike challenge to raise funds for Special Operations Warrior Foundation (SOWF). He accomplished this with a prosthetic leg. They raised a total of \$14,000, which was \$4,000 above their intended goal.

Special note about SOWF. The Foundation provides college educations for the children of special operations personnel from the Army, Navy, Air Force and Marine Corps who fall in combat or training operations. SOWF also provides support for families so they can travel to be at the bedside of a severely wounded loved one. Kent Solheim was a recipient of SOWF, so this was his way of giving back.

J.B. Speed School of Engineering – Yung T. Nguyen

Yung Nguyen (pron: young win) was born and grew up in Saigon, Vietnam. After the fall of the South Vietnamese government in 1975, Mr. Nguyen endured several years under the harsh political system imposed by the Communist regime. Mr. Nguyen escaped to the U.S. to pursue the American dream, but the refugee's journey was difficult, dramatic and dangerous.

In 1980, Mr. Nguyen found a Cambodian guide to smuggle him to safe refuge in Thailand. He traveled on foot and bike through the jungles of Cambodia. Mr. Nguyen was the only member of his group to arrive safely in Thailand.

After almost two years in various refugee camps in Southeast Asia, Mr. Nguyen arrived in America with literally nothing, not even shoes on his feet. He made his home in Louisville, where his uncle, a former pilot in the South Vietnamese air force, had settled earlier. Mr. Nguyen's first job in this country was washing dishes at a Chinese restaurant in Louisville.

Mr. Nguyen furthered his education while attending Jefferson Community College and the University of Louisville. He earned a bachelor's degree in computer science in 1986, a master's degree in computer science in 1988, and a master's degree in mathematics in 1990. Mr. Nguyen worked for a decade at Electronic Systems USA as a software designer, project manager, and in his last position there as engineering department manager.

In 1993, a young Louisville woman was shot to death by a former boyfriend. He had been jailed for raping and assaulting her weeks before, but was released on bond without her knowledge. When Mr. Nguyen and his business partner, Mike Davis, heard about Mary Byron's murder, they decided to start the VINE Company to develop and market an automated computer system to give crime victims access to offender information 24 hours a day and automatically notify them by phone, pager, email, or fax upon an offender's release.

In five years, the VINE Company grew to 100 employees, who shared the founders' strong sense of purpose—helping victims of crime. The victim notification technology is now in use in more than 1200 counties in 36 states and in Canadian provinces. Mr. Nguyen and his partner at VINE shared an Ernst & Young 1997 Entrepreneur of the Year Award. Mr. Nguyen also won the 1998 Founder's Award from the Advanced Technology Council of Louisville, and several other honors from the University of Louisville.

After the 2000 presidential election recount controversy in Florida, Mr. Nguyen began to extensively research ways to resolve problems with voting machines. That work developed into his passion to lead the effort to make all precincts accessible to all voters. Mr. Nguyen invented the patented voting technology, called Inspire, and founded IVS, in 2002. IVS, LLC is a voting services company that specializes in accessible voting systems. IVS makes it easy and affordable for states and counties that use optical scan or other non-accessible voting systems to comply with new federal requirements for precinct-level accessibility.

Mr. Nguyen is the Founder and Chairman of Lac Viet, a non-profit program that provides after school and tutoring services to immigrant children and seeks to empower immigrant parents who speak limited English to get involved in their children's education. He and his wife, Vu, also a Speed graduate and partner in IVS, have three children, and live in Louisville.

Kent School of Social Work – Dr. Alfonso R. Batres

Dr. Alfonso Batres is the Chief Officer of the Department of Veterans Affairs Readjustment Counseling Service. He has direct oversight of the almost 300 Vet Centers providing readjustment counseling service to war zone veterans nationally. Vet Centers are located in all fifty states, District of Columbia, Puerto Rico, U.S. Virgin Islands, and Guam. As Chief Officer Dr. Batres also assists the Under Secretary for Health in policy issues effecting readjustment of veterans and their health care. Dr. Batres is a service-connected disabled Vietnam veteran.

In 2002, Dr. Batres received the Presidential Distinguished Service Rank Award for Senior Executives and had previously received the Presidential Meritorious Service Rank Award. He recently received the 'Aguila' Award from the Hispanic War Veterans of America for his double duty as a Vietnam combat veteran and care provider for our nation's veterans.

Dr. Batres received his BA in psychology from the University of Texas – El Paso in 1974, and his MSSW for the Kent School of Social Work at the University of Louisville in 1974. He earned his MA and Ph.D. in Psychology for the University of Colorado in 1981 and 1984 respectively. Dr. Batres also holds an appointment as Adjunct Assistant Professor of Medical and Clinical Psychology with the F. Edward Hebert School of Medicine, Uniformed Services University of the Health Sciences.

Dr. Batres started his civil service track in 1974 as an Army psychologist working with military families. Since that time Dr. Batres has become a national and international leader in pioneering the development and provision of services for veterans with combat related trauma.

He comes from a family with a proud history of military service to our nation, his father was a WWII veteran and his son Al is a veteran of Operation Desert Shield/Storm, having served as an Airborne Scout with the 82nd Airborne Division. He has a daughter Grace in San Antonio, Texas and is the proud grandfather of five children.

Louis D. Brandeis School of Law – Howard Fineman

Howard Fineman is Newsweek's senior Washington Correspondent and columnist, senior editor and deputy Washington Bureau Chief. He is also the author of "Living Politics," a column that began and continues on MSNBC.com and Newsweek.com and is now featured in the print magazine. An award-winning writer, Fineman also is an NBC News Analyst, contributing reports to the network and its cable affiliates. The author of scores of Newsweek cover stories, Fineman's work has also appeared in The New York Times, The Washington Post and The New Republic. Fineman authored his first book in 2008, *The Thirteen American Arguments: Enduring Debates That Define and Inspire Our Country*.

As a reporter and writer, Fineman ranges widely. Besides campaign-year cover stories, other projects have included: the rise of the religious right, the power of talk radio, race and politics, the Pledge of Allegiance controversy, the impact of digital technology on society and the influence of Hollywood on politics. He has interviewed business leaders such as Bill Gates, Steve Case, Steve Ballmer, Robert Rubin and Ted Turner and entertainment personalities such as Warren Beatty, Jane Fonda, and Jay Leno. Although Fineman now reports on TV exclusively for NBC, he has appeared on most major public affairs shows, including: Nightline, Face the Nation, Larry King Live, Fox News Sunday, Charlie Rose, and The NewsHour with Jim Lehrer. He was a regular panelist on PBS's Washington Week in Review, 1983-1995 and on CNN's Capital Gang

Sunday, 1995-1998. He worked with Ted Koppel to produce Nightline special reports on Ross Perot and Pat Robertson.

A native of Pittsburgh, Fineman began his journalism career at The Louisville Courier-Journal, covering the environment, the coal industry and state politics before joining the newspaper's Washington bureau in 1978. He moved to Newsweek in 1980, was named chief political correspondent in 1984, Deputy Washington bureau chief in 1993 and senior editor in 1995.

Fineman holds an A.B., Phi Beta Kappa, from Colgate, an M.S. in journalism from Columbia, and a J.D., in 1980, from the University of Louisville. His legal education included a year at the Georgetown University Law Center. He received Watson and Pulitzer Traveling Fellowships for study in Europe, Russia and the Middle East. He lives in Washington with his wife and their two children.

School of Medicine – Dr. Larry Cook

Dr. Cook received his undergraduate and medical degrees from the University of Louisville and has served on the faculty for more than three decades. He served as Chief of Neonatology, Professor and Chairman of the Department of Pediatrics, and Executive Vice President for Health Affairs.

For over three decades he drove the streets of Louisville at night to care for at-risk neonates in intensive care units throughout the city. There surely are thousands of former patients and many thousands of grateful parents and grandparents who are the beneficiaries of his service to these little patients.

He has also served with distinction in leading the pediatrics department, building the Kosair Children's Hospital, growing and nurturing the Faculty Practice Plan, and overseeing the Health Sciences campus during his service as Executive Vice President for Health Affairs.

School of Music – Terry Cravens

Dr. Terry Stephen Cravens, Professor of Trombone, received his BM in 1963 and his MM in 1965 from the University of Louisville.

Between 1963 and 1965 Dr. Cravens was a member of Phi Mu Alpha, the School of Music Student Council, Marching Band, Bardstown Road Presbyterian Church choir and the Harvey Browne Presbyterian Church. He was also in a Barbershop Quartet that won the first prize in the university-wide contest. He directed the Second Presbyterian Church choir during the summer of 1965. He also received a Distinguished Alumni Award in 1991.

Terry Cravens has been a steadfast supporter of the University of Louisville for over forty years. Although he lives in Los Angeles, he returns to Louisville when possible to attend

functions on and off campus. He is one of the most active classical trombonists in Los Angeles and recently was chosen by the entire USC music faculty for their most prestigious teaching award. He is currently the Professor of Music at the University of Southern California and Chairman of the Department of Winds and Percussion. He is married to Mona H. Cravens, a 1966 UofL graduate of music.

School of Nursing – Charlotte Ipsan

Charlotte Ipsan received her MS in nursing in 1998 from the University of Louisville, and with over twenty-five years experience in the nursing profession, she has distinguished herself as an outstanding practitioner, educator, and leader. Charlotte began her career as a nurse manager in the Neonatal Intensive Care Unit at Norton Healthcare. From there she went on to manage the nurse practitioner staff for Neonatal Associates. In 2005 Charlotte joined the University of Louisville School of Nursing faculty where she was responsible for didactic and clinical instruction and education of graduate students for neonatal nurse practitioners. In 2008, Charlotte received the graduate faculty of the year award. In 2009 Charlotte was promoted to Vice President of Kosair Children's Medical Center and Vice President of Pediatric Outreach at Kosair Children's Hospital. Through her scholarship, service, and leadership, Charlotte has made significant contributions to the university and the profession of nursing as a whole.