

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

In Open Session

Members of the University of Louisville Board of Trustees met at 3:00 p.m. on June 28, 2012, in the Conference Room of the 600 North Building, Shelby Campus, with members present and absent as follows:

Present: Mr. Frank Minnifield, Chair
Ms. Marie Abrams
Dr. Laurence Benz
Mr. Jonathan Blue
Mr. Justin Brandt
Mr. Ron Butt
Mr. Bruce Henderson
Dr. Robert Curtis Hughes
Mr. David James
Ms. Brucie Moore
Mr. Robert W. Rounsavall, III
Ms. Debbie Scoppechio
Dr. Robert Staat
Ms. Phoebe Wood

Absent: Dr. Kevin Cosby
Mr. Owsley Brown Frazier
Ms. Augusta Brown Holland
Judge Rebecca Jackson
Mr. J. Chester Porter
Dr. William Selvidge

From the University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. David L. Dunn, EVP for Health Affairs
Dr. William Pierce, EVP for Research and Innovation
Ms. Angela Koshewa, University Counsel
Mr. Michael J. Curtin, Vice President for Finance
Mr. Keith Inman, Vice President for University Advancement
Ms. Rebecca Simpson, Sr. Assoc., VP for University Advancement
Ms Cynthia Hess, Director of Communications
Mr. Gary Mans, Director of Communications and Marketing, HSC
Dr. Joe Steffen, Professor and Director of Graduate Programs, Biology
Mrs. Kathleen M. Smith, Assistant Secretary
Mrs. Debbie Dougherty, Board Liaison

I. Call to Order

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

II. Consent Agenda

Chair Minnifield read the consent agenda items.

A. Approval of Minutes, May 10, 2012

B. From the Compensation Committee

- Action Item: Approval of Earned Retirement Contribution

C. From the Personnel Committee, 6/28/2012

- Action Item: Approval of Revisions to University Libraries Personnel Document
- Approval of Monthly Personnel Recommendations
- Action Item: Approval of QCCT Board Appointment

D. From the Academic & Student Affairs Committee

- Action Item: Approval of BA in Latin American and Latino Studies
- Action Item: Approval of Certificate in Autism
- Action Item: Approval of Certificate in Prosthodontics
- Action Item: Approval of Master of Science in Dentistry

E. From the Finance Committee

- Action Item: Approval of Amendment to Lease for Property Located at 315 Broadway
- Action Item: Approval of Increase in Fees:
 - School of Nursing
 - School of Dentistry Fees
- Action Item: Approval of Capital Projects
 - HSC Utilities Hazard Mitigation Project
 - Storm Damage Projects
 - Grawemeyer Hall Roof
 - Law School Roof
 - Gardiner Hall Roof
 - JB Speed Roof

F. Approval of August Graduates and Candidates

Mr. Blue made a motion, which Mr. James seconded, to approve the consent agenda. The motion passed.

III. Action Item: Approval of Security Clearance and Managerial Group

President Ramsey explained this was a routine matter to update the managerial group. Ms. Wood made a motion, which Dr. Staat seconded, to approve the

President's recommendation that the Board of Trustees adopt the attached Resolution revising the Managerial Group of the University of Louisville and waiving of security clearance for officers, Trustees, and directors not a part of the managerial group; and

Authorization of the President to take any other steps necessary with regard to agreements or assurances to the Defense Security Service to effect the facility security clearance of the University of Louisville and clearance of its personnel including compliance with the provisions of the National Industrial Security Program Operating Manual or other Federal government policy relating to safeguarding of classified information.

The motion passed.

IV. Action Item: Approval of Revisions to the Institutional Compliance Plan

Dr. Dunn reported that in order to ensure compliance by the University and its full time School of Medicine faculty with the various requirements of the federal Medicare program in billing for services, the Board established the University of Louisville School of Medicine Compliance Plan (the "Compliance Plan") on April 28, 1997. The Compliance Plan has been extended subsequently to cover the entire Health Sciences campus, all third party billing arrangements, and patient privacy. Those aspects of the Compliance Plan which relate to third party billing arrangements have been administered by University employees reporting to the Executive Vice President for Health Affairs. Dr. Dunn further noted in April, 2011, the Board amended the University of Louisville School of Medicine Private Practice Plan (the "Plan") to provide for a single practice group, University of Louisville Physicians, Inc. ("ULP"), to be the recognized practice entity for all full time School of Medicine faculty who were not members of a Practice Group (as defined by the Plan) described on Schedule E of the Plan. As a result of the establishment of this single multi-group practice for most of the School of Medicine faculty, the University proposes it would be efficient to transfer compliance responsibility to ULP to administer those aspects of the Compliance Plan which relate to third party billings by full time School of Medicine faculty who practice through ULP. Ms. Abrams made a motion, which Ms. Wood seconded, to approve the

President's recommendation that the Executive Vice President for Health Affairs (the "EVPHA") be delegated authority to enter into a memorandum of understanding or other agreement (the "Agreement") with University of Louisville Physicians, Inc. ("ULP"), a not for profit corporation which is the designated Practice Group (as that term is used in the University of Louisville School of Medicine Professional Practice Plan [the "Plan"]) for all full time faculty of the School of Medicine (except for those listed on Schedule E of the Plan) to provide for the following:

1). Effective on or after July 1, 2012, all individuals employed by the University of Louisville Health Sciences Center Office of Compliance ("Staff") will be transferred to ULP, such transition to occur consistent with all University human resources policies, which may include entering into a leased employee agreement with ULP on a transitional basis.

2). Effective on or after July 1, 2012, ULP will assume responsibility for aspects of the University of Louisville Health Sciences Center Compliance Plan ("Compliance Plan") which relate to billing any third party payer ("Billing Compliance") by any School of Medicine faculty member for whom ULP is the designated Practice Group.

3). That the Staff continue to assure Billing Compliance for any entity (such as the University of Louisville School of Dentistry and any Practice Group listed on Schedule E of the Plan), which is subject to the Compliance Plan but which is not part of ULP, pursuant to a subcontract with ULP, it being specifically required that such subcontract be executed contemporaneously with and have the same effective date as the Agreement.

The Agreement will contain sufficient oversight and audit rights for the University to assure itself that Billing Compliance will be effectively managed under the Agreement.

That, except for Billing Compliance, the Compliance Plan remain in effect as it currently exists; however, the EVPHA and Associate Vice President for Audit Services and Institutional Compliance are hereby delegated authority to integrate the functions currently required by the Compliance Plan into the broader University Institutional Compliance Plan approved by the Board on February 16, 2012 at such time as such integration becomes feasible.

That, until such time as the action contemplated by the preceding paragraph occurs, the Compliance Plan (except for Billing Compliance) continue without change.

The motion passed.

V. Action Item: Authorization of Executive Committee to Act on Behalf of the Board

President Ramsey noted the Board of Trustees does not routinely meet in the month of August and the June and July meetings in 2012 were combined with the Trustees Retreat on June 28. The Board of Trustees, therefore, is not scheduled to meet between June 29 and September 12, 2012. The President requested that the Board authorize the Executive Committee to act for the Board during this timeframe. The full board will receive notice of any Executive Committee meeting as routine during the authorized period. Ms. Abrams made a motion, which Mr. James seconded, to approve the

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

- Monthly personnel actions and routine personnel policy revisions;**
- Designations and awards;**
- Other matters of housekeeping nature.**

The motion passed.

VI. Action Item: Authorization Regarding University Hospital RFP

After discussion, this item was withdrawn from the agenda.

VII. Report of the President

The President's update was provided during the Compensation Committee and the Special Board meeting.

VIII. Report of the Chairman

Evaluation of the President

Chair Minnifield referenced the written evaluation of the President (below) and noted this document contained the Board's comments from the special meeting held earlier today. The Board approved the evaluation by acclamation as part of the record.

Today, the University of Louisville Board of Trustees carried out its annual evaluation of James R. Ramsey as President, and it was most impressed with the quantity and caliber of accomplishments during the past year. Because the University has experienced thirteen budget cuts in a dozen years, the net appropriation from the state for FY2013 will be lower than any one of the following: research revenue, UofL Foundation funding, clinical revenue, and tuition and fees. The economic challenges facing the University are greater than ever, yet the President continues to move the institution forward and seems to "walk on water." The following are some of the records achieved this past year:

- **50.8% Graduation rate**
- **2,681 Baccalaureate degrees awarded**
- **188 Doctoral degrees conferred**
- **Most collaborations in Signature Partnership Initiative's five years**

Additionally, the President's strategy to convert underperforming assets into revenue for the University produced 600 North, a creative partnership with NTS, and attracted outstanding corporate tenants. The success of the partnership with NTS led to the development of two additional buildings, 700 North and 500 North. Cardinal Station produced positive revenue of nearly \$1M and the University launched an applied sciences and engineering research park on Belknap Campus. The TIF at the HSC/Nucleus Research Park was activated and will generate \$1.3M in its first year. The TIF for the Belknap Research Park, the largest in the state's history, was approved today.

UofL signed MOUs with the US Army at Ft. Knox and the Kentucky National Guard to build collaborations with primary focus on energy sustainability, traumatic brain injury and post-traumatic stress disorder research, and educational opportunities for the soldiers' children. During this first year, these MOUs produced 25 initiatives with Ft. Knox.

Initiatives to improve the experience of UofL students, faculty, and staff next year, for example, were:

- **a new student engagement transcript**
- **an "out-in-four" program for enrolled students**
- **a new Student Recreational Center started (to be completed in 2013)**

- faculty salary equity study ready for implementation
- staff evaluation system revised
- faculty and staff grievance procedures updated
- organization between the EVP HA and the Dean of Medicine separated
- single clinical practice organization established in ULP
- critical departmental leadership recruited for the HSC
- research infrastructure for commercialization and innovation established
- software installed to provide convenience for applicants seeking funding
- compliance procedures implemented to strengthen financial controls

These initiatives are a sampling of the work the President and his team have implemented this year. For a complete review, please visit the Board's website at www.louisville.edu/boards.

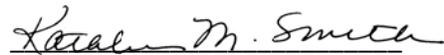
It has again been a year of challenges during some of the most adverse times in the past century. The Board of Trustees recognizes that Dr. James Ramsey is the most capable leader at the University's helm, and acknowledges the compilation of the initiatives achieved this year is truly remarkable. His leadership assures the Board that achieving top tier status as a premier metropolitan research university is achievable during his tenure.

The Board also praised the leadership of Jane Ramsey who led her beautification committee to transform the campus with spectacular entrances and welcoming signage to create a neighborhood that connects with its surrounding areas. The Board applauded Mrs. Ramsey for her vision and concern for a "home away from home" for our students. Her enthusiasm as the Cardinals #1 fan is contagious, and we deeply appreciate her support for the University's twenty-three sports. The Board thanked the Ramsey family for all they do for UofL. It has made a huge impact on the lives of our students, faculty, and staff.

IX. Adjournment

The meeting adjourned at 4:35 p.m.

Approved by:



Asst. Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF LOUISVILLE

June 28, 2012

Recommendation:

The Compensation Committee:

- acknowledges the President and his team for their outstanding performance in 2011-12, and
- Recommends to the UofL Foundation that the President receive 25% of his total salary as a retirement contribution.

Committee Action:

Passed: X

Did not Pass:

Other:

Date:

Board Action:

Passed: X

Did not Pass:

Other:

Date:

Approved by:

Kathleen M. Smith

Assistant Secretary

Approved by:

Kathleen M. Smith

Assistant Secretary

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

Personnel Committee – June 28, 2012
Board of Trustees – June 28, 2012

RECOMMENDATION:

The President recommends:

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

Committee Action:

Passed: X

Did not Pass:

Other:

Date:

Board Action:

Passed: X

Did not Pass:

Other:

Date:

Approved by:

Katalin M. Smith

Assistant Secretary

Approved by:

Katalin M. Smith

Assistant Secretary

UNIVERSITY OF LOUISVILLE
UNIVERSITY LIBRARIES FACULTY
PERSONNEL DOCUMENT

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

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

- 1 Faculty Appointments [and Tenure](#)
 - 1.1 Full-time Appointments
 - 1.2 Part-time Appointments
 - 1.3 Emeritus Faculty
 - 1.4 Rank for New Appointments
- 2 ~~Evaluations-Faculty Personnel Reviews~~
 - 2.04 Performance Criteria _____
 - 2.2.1 Annual Review
 - 2.2.1 Introduction
 - 2.2.2 Annual Workplan
 - 2.2.3 Annual Review Procedure
 - 2.2.4 Annual Review Appeal Process
 - 2.3.2 Promotion and Tenure Review
 - 2.3.1 Promotion Review
 - 2.3.2 Procedures for Promotion
 - 2.3.3 Tenure Review
 - 2.3.4 Procedures for Tenure
 - 2.3 Promotion in Rank
 - 2.4 Periodic Career Review
 - 2.4.2.5 Contract Renewal
 - 2.5.1 Contract Renewal for Probationary Faculty
 - 2.5.2 Contract Renewal for Term Faculty
 - 2.5.3 Contract Renewal for Part-Time Faculty
 - 2.5.4 Non-renewal of Contract
- 3 Conditions of Faculty Employment
 - 3.1 Sabbatical Leave
 - 3.2 Grievance
 - 3.3 Termination of Service
- 4 Resolution of Disagreements
- 5. _____ Termination of Service
- 6. Procedure for Amending University Libraries Faculty Personnel Document
- Procedure for Amending University Libraries Faculty Personnel Document

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

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Comment [a1]: Overall changes to note:
1. "Supervisor" used instead of "program director" to match Redbook language.
2. "Provost" changed to "Executive Vice President and University Provost" to match Redbook language.
3. Deleted passages, or parts of passages, in our current document that were verbatim duplicates of Redbook Minimum Guidelines (Faculty Appointments and Tenure, Contract Renewal, Sabbatical, and Termination of Service). Referred to Redbook and Minimum Guidelines as much as possible. This was done 1) because redundant language was unnecessary 2) because in many instances our document was out of line with the Redbook and the Redbook always supersedes a unit document 3) so that the Personnel Document doesn't need to be altered when Redbook changes 4) to encourage readers to consult and become familiar with the Redbook and Minimum Guidelines.
4. Reorganized document and aligned numbering and section titles to match Redbook.

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Comment [s2]: Correction needed

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1 | 1 FACULTY APPOINTMENTS AND **TENURE**

2 |
3 | 1.1 FULL-TIME **FACULTY** APPOINTMENTS

4 | Full-time library faculty appointment shall be one of three kinds: ~~For description of full-time~~
5 | ~~appointments, including non-tenurable (term), probationary and tenured see The Redbook Sec. 4.1.1.~~

- 6 | a. ~~Nontenurable~~
- 7 | b. ~~Probationary~~
- 8 | e. ~~Tenured~~

9 | See *The Redbook* Sec. 3.3.1 for the process of membership and appointment to the ULF.

10 |
11 | **A. Nontenurable Full-Time Appointments**

12 | 1. ~~Temporary~~

13 | ~~Temporary appointments to the various academic ranks may be made for specifically limited time~~
14 | ~~periods of less than one year or for special purposes. Temporary faculty may not serve on ULF~~
15 | ~~standing or ad hoc committees.~~

16 | 2. ~~Term~~

- 17 | a. ~~All nontenurable full-time faculty members who do not hold temporary appointments will~~
18 | ~~be called term faculty.~~
- 19 | b. ~~Term faculty shall be full-time faculty appointments without tenure for a stipulated~~
20 | ~~contract period not to exceed three years. Such appointments are not probationary~~
21 | ~~appointments and no such appointments, continuation, or renewal thereof shall result in~~
22 | ~~acquisition of tenure or implied renewal for subsequent terms. Term faculty members are~~
23 | ~~not eligible for sabbaticals or other academic leaves.~~
- 24 | c. ~~Term faculty may be funded through general funds, restricted funds, or clinical revenues.~~
25 | ~~The number of term faculty appointments funded through general funds must be fewer than~~
26 | ~~50% of the total number of appointments in the ULF.~~
- 27 | d. ~~Term faculty appointments may be renewed according to *The Redbook, Redbook Sec. 3.3.1*~~
28 | ~~*4.1.1.A.2*~~
- 29 | e. ~~Faculty on term appointments may apply for and be appointed to probationary~~
30 | ~~appointments. The Provost/Executive Vice President and University Provost's letter of~~
31 | ~~appointment shall state whether and to what extent the new appointment shall consider time~~
32 | ~~served in nontenurable status as prior service.~~
- 33 | f. ~~Term faculty members are eligible for promotion according to the same requirements as~~
34 | ~~probationary and tenured faculty.~~

35 |
36 | **B. Probationary Appointments**

37 | 1. ~~Definition~~

38 | ~~Probationary appointments shall be appointments of full-time faculty members without tenure other~~
39 | ~~than those described in Sec. 1.1.A., provided, however, that no probationary appointment to the~~
40 | ~~University shall extend beyond the period when tenure would normally be granted.~~

41 | 2. ~~Instructors~~

42 | ~~Probationary appointments to the rank of Instructor shall be for stipulated terms of one year each.~~

43 | 3. ~~Assistant and Associate Professors~~

44 | ~~Probationary appointments to the rank of Assistant or Associate Professor shall be for stipulated~~
45 | ~~terms not to exceed two years on the initial appointment, nor three years for appointments made~~
46 | ~~thereafter.~~

47 | 4. ~~Professors~~

48 | ~~An initial appointment at the rank of Professor will normally come with tenure. However, if tenure is~~
49 | ~~not awarded at the time of appointment, and a tenure review is not conducted during the~~
50 | ~~probationary year, tenure shall be awarded if the appointment is renewed.~~

Comment [a3]: Sec 1 re-ordered to match Redbook. Descriptions of appointments removed, referred to Redbook instead. Redbook 4.1.1. covers definitions of faculty and renewal of contract.

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Comment [s4]: I think 3.3.1 is incorrect and should be changed as noted.

1 **C. Tenure Appointments**

2 **1. Definition**

3 Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous
4 full-time employment without reduction in academic rank until retirement or termination as
5 provided in Sec. 3.3.

6 **2. Administrative Personnel**

7 Administrative personnel who have acquired tenure are subject to the regulations herein on
8 tenure and the provisions governing termination only in their capacities as faculty members.

9 **3. Tenure Recommendations**

10 Recommendations concerning the award or denial of tenure shall originate in the University
11 Libraries, in accordance with the procedures established in Sec. 2.3.4.

12 **4. Establishment of Tenure Date**

13 For probationary appointments, the date of mandatory tenure and the number of years of
14 previous full-time service to be counted toward acquisition of tenure shall be stipulated by the
15 Provost ~~Executive Vice President and University Provost~~ and agreed to in writing by the nominee
16 before the appointment is made by the Board of
17 Trustees.

18
19 **1.2 PART-TIME APPOINTMENTS**

20
21 For description of part-time appointments see The Redbook Sec. 4.1.2. For the purposes of all other
22 personnel actions, part-time appointments are considered non-tenurable appointments.

23 A. Part-time faculty are appointed by contract to engage in specified activities within the fields of
24 librarianship or archival administration less than full-time for a designated period. No such
25 appointment, continuation, or renewal thereof will result in acquisition of tenure nor does it imply
26 renewal for subsequent periods.

27 B. Part-time faculty may qualify for certain benefits as authorized by the University.

28 C. Part-time faculty may be elected to the Faculty Senate and may be appointed or elected to
29 University or unit committees as specified by their contract ~~annual workplan~~ and/or University
30 documents.

31 D. Part-time faculty may serve on ULF standing and ad hoc committees. Such service will be
32 accounted for and recognized in the individual contract ~~annual workplan~~.

33 E. Part-time faculty shall hold rank according to education and experience as described in Sec. 1.4.

34 F. Part-time faculty shall have an appeal process as provided for in the terms of appointment, as
35 described in Sec. 2.2.4.

36 G. Deans may appoint or reappoint part-time faculty for each academic term at the convenience of
37 the University on standard contract terms approved by the Executive Vice President and University
38 Provost ~~Executive Vice President and University Provost~~.

39 H. Contract renewal is as described in Sec. 2.5.2.B-2.5.3.2.

40 I. Promotion is described in Sec. 2.3.1.B.

Comment [a5]: Subsumed under non-tenurable appointments, per Redbook.

Comment [s6]: Can't find a 2.5.2B

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Comment [ndn7]: No matching section in Redbook or other units' documents, except as 4.2.2.D Prior Service. Should we remove here and add Prior Service in 2.2?

Comment [EMS8]: Decision from Committee 1/12/12: Send section B to Bylaws Committee (Angel). A and C move to Personnel Manual and Melissa's search committee handbook. See p. 15 in personnel comm manual regarding new appts.

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41
42 **1.3 EMERITUS FACULTY**

43 The honorary title Professor Emeritus may be conferred upon retired faculty if requested by the ULF
44 and the Dean, and approved by the President and Board of Trustees as stated in The Redbook Sec.
45 4.1.3.

46
47 **1.4 RANK FOR NEW APPOINTMENTS**

48 A. Librarians and archivists hold faculty rank. Initial rank for all ULF members will be
49 determined according to education and experience. The Personnel Committee will make a
50 recommendation to the Dean, based on credit for prior work, on rank, and credit toward
51 tenure when applicable, for each new appointment.

1
2 ~~B-~~A librarian must have a master's degree from an American Library Association-accredited library
3 school or the equivalent professional credentials, or a graduate degree in other professional or
4 scholarly fields where appropriate. An archivist must have a master's degree in archives
5 administration, history, library science, information management, business administration, or other
6 relevant field.

7 8 **C. Ranks:**

9 **1. Lecturer**

10 The Dean may appoint or reappoint Lecturers at the convenience of the University
11 Libraries. The Lecturer rank only applies to term and temporary appointments. Lecturers are
12 neither required nor eligible to go through the procedures for annual review, promotion
13 review, periodic career review, or contract renewal review as outlined in this document.

14 **2. Instructor**

15 Appointment to the rank of Instructor requires a master's degree as stated above in Sec.
16 1.4.B and evidence of promise in professional performance.

17 **3. Assistant Professor**

18 Appointment to the rank of Assistant Professor generally requires two years of experience in
19 an academic library/archives or equivalent experience and some evidence of professional
20 development.

21 **4. Associate Professor**

22 Appointment to the rank of Associate Professor generally requires six years of experience in
23 an academic library/archives or equivalent experience and evidence of significant
24 contribution to the profession.

25 **5. Professor**

26 Appointment to the rank of Professor generally requires eleven years of experience in an
27 academic library/archives or equivalent experience and a strong record of productivity in
28 professional performance and service to the unit, University, profession, and/or the
29 community.

30 See also Appendix II, Characteristics of Ranks.

31 32 **2 EVALUATIONS FACULTY PERSONNEL REVIEWS**

33 34 **2.1 PERFORMANCE CRITERIA** ~~2.0 PERFORMANCE CRITERIA~~ performance Criteria

35
36 The Libraries are organized into programmatic areas headed by program directors. The program
37 director provides the first review in all faculty evaluations.

38
39 The following criteria are the basis of all faculty reviews in the University Libraries. (See Appendix I).
40 Effective performance in ~~e~~Criterion A is essential for all of the reviews documented in Sec. 2.
41 Performance requirements for ~~e~~Criteria B-C are determined according to the type of review and the
42 faculty member's individual workplans during the review period. ~~The supervisor in conjunction with~~
43 ~~the Personnel Committee conducts faculty personnel reviews. Failure to accomplish significant~~
44 ~~activities as listed in the annual workplan(s) will be considered unsatisfactory performance.~~

45
46 Criteria A-C will be assessed in writing by the supervisor and the Personnel Committee and will
47 include an evaluation of performance as specified in the annual workplan. The evaluation ratings are
48 exceptional, proficient, needs improvement, and unsatisfactory. These terms will be applied relative
49 to the expectations for the faculty member's rank as described in Appendix II. Exceptional and
50 unsatisfactory ratings require additional documentation from the supervisor.

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A.A. Criterion A: Teaching

~~1. The term teaching, when applied to librarians and archivists, is meant to be interpreted to apply/applies to the wide range of functions librarians and archivists we assume perform and may not always mean the same sort of teaching responsibility other faculty in the University have.~~
~~2. All activities that contribute to the operations of the University Libraries fall under this criterion. These activities include but are not limited to administration, assessment and resource planning, technical services, information delivery, information literacy, liaison activities, public relations/outreach, resource selection, and technology administration. Professional development activities are included in this criterion.~~
~~3. This criterion will be assessed in writing by the program director and the Personnel Committee and will include an evaluation of performance in this criterion as specified in the annual workplan. Terms used in defining quality of performance will be exceptional, proficient, needs improvement, and unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank. See Appendix II for the characteristics of the ranks. This terminology applies to all personnel reviews. An exceptional rating will be awarded only rarely for work that truly goes above and beyond what most faculty have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation on the part/from of the program director.~~

B.B. Criterion B: Research and/or Creative Activity

~~1. Research and/or creative activity focuses on the advancement of knowledge in the fields of librarianship, archival administration, information science, information technology, or other areas of scholarship as related to the faculty member's position. This activity Such research or creative activity should inform the faculty member's work in the operations of the Libraries and vice versa. It may represent a scholarly approach to innovation, assessment, and evaluation of services, participation in scholarly discourse and reflection concerning the discipline, or scholarly work in a complementary discipline that informs or is informed by the librarian/archivist's provision of services. Emphasis will be placed on work that becomes part of the published scholarly record. Emphasis will be placed on work that becomes part of the written scholarly record.~~
~~2. Assessment of this criterion is conducted by the program director and the Personnel Committee. Terms used in defining quality of performance will be exceptional, proficient, needs improvement, and unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank. See Appendix II for the characteristics of the ranks. This terminology applies to all personnel reviews. An exceptional rating will be awarded only rarely for research and creative activity that goes above and beyond what most faculty have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation on the part/from of the Personnel Committee.~~

Comment [a9]: "Research AND Creative Activity" changed to "Research OR Creative Activity" per Redbook.

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

~~1. This criterion is defined as sharing one's professional expertise within the profession, the unit, the University, and/or the community in general. Activities include service to the profession, University, and/or community based on professional skills. Examples of activities in this criterion include participating in professional and scholarly organizations, sponsoring student organizations, participating in University-wide committees and initiatives, and consulting in one's area of professional expertise.~~
~~2. Assessment of this criterion is conducted by the program director and the Personnel Committee. Terms used in defining quality of performance will be exceptional, proficient, needs improvement, and unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank. See Appendix II for the characteristics of the ranks. This terminology applies to all personnel reviews. An exceptional rating will be awarded only rarely for service that truly goes above and beyond what most faculty have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation on the part offrom the Personnel Committee.~~

Comment [a10]: "the Unit" added, "...AND the Community" changed to "...OR the Community" per Redbook.

1 **2.2.1 ANNUAL REVIEWS**

2 **2.2.1 Introduction**

3
4 A. Annual reviews follow The Redbook Sec. 4.2.1 and the Minimum Guidelines.

5
6 B. All ULF members must be reviewed in writing annually (See Appendix D).

7
8 ~~C.B.~~ Each faculty member creates annually a written workplan in conjunction with his or her ~~program~~
9 ~~director/supervisor~~. The workplan will support the mission and goals of the University Libraries and
10 is the basis for all personnel reviews. (See Sec. 2.2.20.)

11 ~~Working with the supervisor, each faculty member will present an annual workplan for the~~
12 ~~approval of the Dean. The workplan will support the mission and goals of the University~~
13 ~~Libraries and is the basis for all personnel reviews.~~

- 14 1. The annual workplan will specify the responsibilities of the faculty member for
15 teaching/librarianship/archival administration, research and/or creative activity, and service.
16 Each faculty member, in agreement with his or her supervisor, will indicate what percentage
17 of effort will be spent in eCriteria A-C. The percentages are used solely to indicate represent
18 an understanding of workload distribution between faculty member and supervisor.
- 19 2. Faculty permanently or temporarily appointed or reassigned to specialized roles for the
20 purpose of meeting unit needs may develop workplans that specify activity in only one of
21 those areas.
- 22 3. When circumstances require changes in the annual workplan, the faculty member and
23 supervisor must file an amended plan (including an explanation of the necessary changes) for
24 the approval of the Dean. Faculty members may not submit revised annual workplans after
25 November 15.

26
27 ~~D.C.~~ The annual review measures achievement of the goals outlined in the annual workplan and is
28 based on written evidence. Performance evaluations will be based on the individual's
29 accomplishments and contributions in helping the University Libraries meet its goals and objectives
30 in support of the University's strategic plan.

31
32 ~~D.E.~~ Each faculty member will have the opportunity to present documentation of performance and
33 effort relative to his or her annual workplan each year. ~~Evaluations must consider only those areas of~~
34 ~~activity for which the approved annual workplan indicates a faculty member's responsibility.~~

35
36
37 ~~E.F.~~ Each faculty member will be informed in writing by his or her supervisor and by the Personnel
38 Committee of the results of the performance evaluations, any recommendations for improvements, and
39 annual ranking. Each faculty member will be given an opportunity to respond to these recommendations and
40 his or her performance evaluation so that timely adjustments may be made before the final recommendation
41 of the Dean.

42 G. All salary increase decisions will be at the discretion of the Dean.

- 43 1. Criteria A-C will be evaluated in writing by the ULF member's ~~program director/supervisor~~
44 in conjunction with the Personnel Committee and reported in writing.
- 45 2. The evaluations of the ~~program director/supervisor~~ and the Personnel Committee will be
46 provided to the Dean and be the basis of salary increase decisions.
- 47 3. The Dean may use a portion (not to exceed 5%) of the funds allocated to the unit for
48 salary increases for a particular year to award special, one-time payments to faculty members
49 for exceptional effort or achievement beyond that rewarded in the regular salary increase
50 process.
- 51 4. The standard period of performance to be covered in the review for salary increases will
52 be the preceding calendar year. When there is an increase of 3% or more in the salary pools

Comment [a11]: Intentional deviation from Redbook order. Redbook discusses annual workplans under "Conditions of Faculty Employment" which would be our Sec. 3. Makes more sense to discuss it under 2.1 Annual Reviews.

Comment [I12]: Verify

1 between two or more consecutive years, the faculty will make a recommendation to the
2 Dean regarding distribution of salary increases taking into consideration the annual rankings
3 achieved by the faculty member over the period.

4 ~~FG. Each faculty member will be informed in writing by his or her program directors, supervisor and
5 by the Personnel Committee of the results of the performance evaluations, any recommendations for
6 improvements, and annual ranking. Each faculty member will be given an opportunity to respond to
7 these recommendations and his or her performance evaluation so that timely adjustments may be
8 made before the final recommendation of the Dean.~~

10 ~~II.G. The Dean will report annually to the ULF and to the Provost/Executive Vice President and
11 University Provost the distribution of the percentage salary increases received by all faculty members
12 and a description of the evaluation system used to arrive at such salary increases.~~

14 ~~II.H. The Personnel Committee will preserve annual reviews electronically and in the Office of the
15 Dean. Individual faculty members will be responsible for maintaining the documentary evidence
16 supporting each annual review through the next promotion, contract renewal, or periodic career
17 review- next personnel action.~~

19 ~~II.F. A positive annual review does not guarantee promotion, tenure, satisfactory periodic career
20 review, or contract renewal.~~

22 2.2.2 Annual Workplan

23 ~~A. Working with the program director, each faculty member will present an annual workplan for the
24 approval of the Dean. The workplan will support the mission and goals of the University Libraries
25 and is the basis for all personnel reviews.~~

27 ~~B. The annual workplan will specify the responsibilities of the faculty member for
28 teaching/librarianship/archival administration, research and creative activity, and service. Each
29 faculty member, in agreement with his or her program director, will indicate what percentage of
30 effort will be spent in criteria A-C. The percentages are used solely to indicate an understanding of
31 workload distribution between faculty member and program director.~~

33 ~~C. Faculty permanently or temporarily appointed or reassigned to specialized roles for the purpose of
34 meeting unit needs may develop workplans that specify activity in only one of those areas.~~

36 ~~D. When circumstances require changes in the annual workplan, the faculty member and program
37 director must file an amended plan (including an explanation of the necessary changes) for the
38 approval of the Dean. Faculty members may not submit revised annual workplans after November
39 15.~~

41 2.2.3 K. Annual Review Procedure

42 ~~1. A. The calendar for annual review is outlined in the *University Libraries Faculty Personnel Committee
43 Manual.*~~

45 ~~2. B. The Dean will send a letter to each ULF member announcing the date by which documentation of
46 the year's annual performance must be received.~~

48 ~~3. C. Each faculty member will prepare an annual performance summary describing and documenting
49 all activities in eCriteria A-C as outlined in the annual workplan. Each faculty member is required to
50 include in the annual review an accounting of all professional work done outside the University.
51~~

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1 ~~D.~~ Each faculty member will provide his or her annual workplan and annual performance summary
2 in print and electronic form, as well as documentation to support activities in ~~e~~Criteria A-C, to the
3 ~~program director/supervisor~~ and the Personnel Committee ~~who will use it as the basis for~~
4 ~~evaluating criteria A-C. The supervisor and the Personnel Committee will separately draft~~
5 ~~comments about the faculty member's performance in eCriteria A-C.~~

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6
7 ~~E.~~ ~~Program director/The~~ ~~Supervisor and the Personnel Committee will separately draft comments about~~
8 ~~the faculty member's performance in criteria A-C.~~

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9
10 ~~4. F.~~ The ~~program director/supervisor~~ and the Personnel Committee will meet and

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11 ~~a. 1-~~ Discuss each faculty member's performance in ~~e~~Criteria A-C in regard to how he or she
12 met the goals listed in his or her annual workplan.

13 ~~b. 2-~~ Assign an overall rating of exceptional, proficient, needs improvement, or unsatisfactory.

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14 An exceptional rating will be awarded only rarely for work that truly goes above and beyond
15 what most faculty members have accomplished in a given year. Both exceptional and
16 unsatisfactory ratings require additional documentation, ~~on the part of the program~~
17 ~~director/supervisor.~~ If there is disagreement about a rating between the ~~program~~
18 ~~director/supervisor~~ and the Personnel Committee, an attempt to reach consensus will be
19 made. If no consensus can be reached, the ~~program director/supervisor's~~ rating stands for
20 ~~e~~Criterion A, and the Personnel Committee's ratings stand for ~~e~~Criteria B and C, resulting in
21 a split rating for the year.

22
23 ~~5. G.~~ After the meeting, the ~~program director/supervisor~~ will write a formal evaluation of ~~e~~Criterion A
24 and the Personnel Committee will write a brief, formal evaluation of ~~e~~Criteria B-C. ~~Program~~
25 ~~director/supervisor's~~ evaluations will be forwarded to the Personnel Committee.

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26
27 ~~6. H.~~ The Personnel Committee will forward the finalized rating and the evaluation(s) of ~~e~~Criteria A-C
28 to the faculty member and ~~program director/supervisor.~~

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29
30 ~~7. I.~~ The ~~program director/supervisor~~ and the faculty member will meet for discussion of the evaluation
31 of ~~e~~Criteria A-C and, if necessary, develop recommendations for improved performance. Both the
32 ~~program director/supervisor~~ and the faculty member will sign the faculty evaluation summary and
33 forward it back to the Personnel Committee. Each faculty member will be given an opportunity to
34 respond to these recommendations and his or her performance evaluation so that timely
35 adjustments may be made. ~~If agreement cannot be reached, then the faculty member may appeal.~~

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36
37 ~~8. J.~~ The Personnel Committee will rank faculty members according to the ratings and divide them into
38 four discreet groups: high, medium, low, and unsatisfactory. A rating of unsatisfactory precludes
39 consideration for salary increase.

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40
41 ~~9. K.~~ The Personnel Committee will forward the files and the rankings to the Dean for consideration in
42 the salary increase decisions. If a faculty member achieves an exceptional performance for the year,
43 the Personnel Committee may recommend to the Dean that the faculty member be awarded a
44 special, one-time payment as provided for in Sec. ~~2-21.F.3.1.G~~

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45
46 ~~10. L.~~ The Dean will make salary ~~recommendations decisions~~ and inform each faculty member in writing
47 of his or her ~~recommendation salary decision.~~

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48 ~~a. 1-~~ Only faculty whose overall performance is judged to be at the level of needs improvement
49 or above in ~~e~~Criteria A-C will receive a salary increase. Faculty who are judged to be overall
50 unsatisfactory will not be eligible for a salary increase.

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51 ~~b. 2-~~ A ~~recommendation decision~~ for a zero salary increase must be submitted for approval of
52 the ~~Executive Vice President and University Provost/Executive Vice President and University~~

1 | Provost. This ~~recommendation decision~~ will include the reasons for the zero salary increase
2 | and specific suggestions for improving any performance considered to be unsatisfactory.

- 3 |
4 | 11. ~~M.~~ Probationary or term faculty receiving an overall rating of needs improvement for more than one
5 | year will be given a terminal one-year contract. Probationary or term faculty receiving an overall
6 | unsatisfactory rating will be terminated. See Sec. ~~3-35~~, Termination of Service.

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7 |
8 | ~~2.2.4 I.~~ Annual Review Appeal Process

- 9 | 1. ~~A.~~ The annual review appeal process is conducted outside of the University's formal grievance
10 | procedure.

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- 11 | 2. ~~B.~~ ~~The Dean Personnel Committee will inform each faculty member in writing of the results of that~~
12 | ~~member's performance evaluation, ranking.~~ Faculty members have the opportunity to appeal the
13 | ~~performance evaluation ranking~~ in writing to the Dean within five working days of receipt of the
14 | letter. The Dean will reconsider the performance evaluation for that faculty member and respond in
15 | writing to the faculty member's appeal within five working days. When the appeal is made by a
16 | faculty member who is evaluated by the Dean, the Dean will designate another faculty member to
17 | review and respond to the appeal within the specified time frame. The designee will be a tenured
18 | person at or above the rank of the faculty member making the appeal, will not be a member of the
19 | Personnel Committee, and must be agreed to by the appellant.

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- 20 | 3. ~~C.~~ Salary decisions may be appealed in writing to the Dean within five working days of receipt of the
21 | letter. The Dean will reconsider the salary decision and respond in writing to the faculty member's
22 | appeal within five working days.

23 |
24 | ~~2.2~~ Tenure review ~~ENURE~~ **REVIEWS**

25 | **A. Length of Probationary Period**

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

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31 |
32 | **B. Leaves of Absence**

33 | One year spent on an officially approved leave of absence may be counted toward the seven years of
34 | full-time necessary for tenure. Any leave granted during the probationary period must carry with it a
35 | stipulation in writing as to whether the leave counts toward tenure.

36 |
37 | **C. Extension of Probationary Period**

38 | ~~A faculty member who faces extenuating circumstances that do not require a leave of absence but~~
39 | ~~result in a significant reduction in ability to perform normal duties may request an extension of the~~
40 | ~~probationary period for no less than six months and no more than one year. Such extensions must be~~
41 | ~~requested and approved before the end of the fifth year of the probationary period and must have~~
42 | ~~documentation satisfactory to the Executive Vice President and University Provost. See The~~
43 | ~~Redbook Sec. 4.2.2.C.~~

44 |
45 | **GD. Pre-Tenure Review**

46 | Faculty members will undergo a comprehensive pre-tenure review, typically after the third year of
47 | service in the University Libraries. If a faculty member receives three or more years of credit toward
48 | tenure when he or she is hired, the hiring process may be considered a pre-tenure review. The
49 | purpose of the pre-tenure review is to inform the faculty member about progress toward meeting the
50 | University Libraries' standards for tenure. The review will be conducted with the same level of rigor
51 | and by the same process as a tenure review; however, external reviews are not required. Faculty

1 members undergoing a pre-tenure review will receive the results in writing. This review is advisory
2 only and does not constitute sufficient justification for award or denial of tenure.

3 E. Early Tenure

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

5 F. Criteria for Tenure

- 6
- 7 1. Completion of the probationary period with ~~proficient~~ **successful** annual or pre-tenure
8 reviews is not sufficient grounds for tenure. Candidates must demonstrate the level of
9 performance required for promotion to Associate Professor as described in Sec. 2.3. ~~4A3. It~~
10 should be noted that tenure is a more critical action than promotion because it is evidence of
11 the University's firm and enduring commitment to the individual.
12 2. Faculty members in a probationary status will be affected by any amendments to or
13 change in the criteria for tenure subsequent to their appointment. In such cases, appropriate
14 consideration will be given to the amount of time remaining in their probationary period
15 when the change becomes effective.

16 HG. Evaluation for Tenure

- 17
- 18 1. For the purposes of tenure reviews, the University Libraries are a unit without departments or
19 divisions.
- 20
- 21 2. Each faculty member eligible for tenure must be evaluated within twelve months after five years
22 of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as
23 indicated unless the faculty member resigns or is subject to termination.
- 24
- 25 3. The Personnel Committee will notify faculty members as they become eligible for tenure review.
- 26
- 27 4. The candidate will submit relevant material for review, as described in Appendix II. Tenure
28 reviews will require external review. In the case of tenure with promotion only one dossier will
29 be submitted. Procedures for external review are outlined in Appendix II.
- 30
- 31 5. The candidate will be shown any material included in the tenure dossier upon request. The
32 candidate may rebut any material in the file within five working days of the deadline for receipt
33 of material by the Personnel Committee.
- 34
- 35 6. After providing access to the candidate's dossier for a period of no less than ~~ten~~ **ten** days, the
36 Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought
37 (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or
38 attend virtually, and these faculty members will cast votes by written secret ballot for or against
39 promotion for each candidate under review. The vote tally will be announced ~~to~~ **to** those present at
40 the meeting. Absentee ballots will not be permitted, however virtual participation in the
41 discussion and voting will be allowed. Any faculty member present may call for discussion of a
42 candidate's dossier.
- 43
- 44 7. The Personnel Committee will tally the votes, record the full vote count for each candidate
45 under review, and incorporate this into their recommendation to the Dean. ~~The Personnel~~
46 Committee will base its recommendation on the criteria for tenure and the documentation listed
47 in Appendix II, and may seek additional information in writing, if necessary.
- 48
- 49 8. ~~The Personnel Committee will communicate its recommendation regarding tenure in writing to~~
50 the Dean. The candidate will be notified when the Personnel Committee recommendation has
51 been placed in his or her file. This recommendation will be included in all higher levels of review.
52

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Comment [a13]: Revised per ULF vote

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Comment [a14]: Revised per ULF vote

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Comment [a15]: Candidate not notified when
Personnel Committee makes recommendations to
Dean. Instead, candidate has option to review and
rebut file after Dean makes unit recommendation
but before recommendation sent to Provost. NOTE:
Tracy Eells, Vice Provost for Faculty Personnel,
consulted on this point, and for practices in other
units, but no response at time of this writing. This
recommended change may be revoked pending his
response.

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9. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Executive Vice President and University Provost.

10. The recommendation of the dean shall be the unit recommendation forwarded to all higher levels of review. Thereafter, the Redbook process is followed, Sec. 4.2.2.H.

2.3 PROMOTION AND TENURE REVIEW IN RANK

2.3.1 Promotion Review

All members of the ULF (except Lecturers) are eligible for promotion through the faculty ranks. Promotion is granted on the basis of significant contributions to the University Libraries, the University, the profession, and/or the community, state, or nation. Successful fulfillment of one's designated responsibilities as outlined in the annual work plan is mandatory. Annual reviews are not sufficient grounds for promotion. Candidates will also be evaluated on the basis of a continuing record of achievement; contributions to the written scholarly record; evidence of professional service or development; and contributions to the mission and goals of the University Libraries. Neither seniority nor time in rank is to be the sole basis for promotion. It is the responsibility of the faculty member to ensure his or her ability to satisfy the criteria for promotion as described below.

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

1. Lecturers are not eligible for promotion.

2. Promotion from Instructor to Assistant Professor

Promotion from Instructor to Assistant Professor requires at least two years of experience at the rank of Instructor, one of which must be at the University of Louisville. Promotion from Instructor to Assistant Professor is based primarily on evidence of good successful performance in the faculty member's position, and with at least one accomplishment in Criterion B and Criterion C each over the review period.

—See Appendix II, Sec. I, for characteristics of the Assistant Professor rank.

3. Promotion from Assistant Professor to Associate Professor

Promotion from Assistant Professor to Associate Professor normally requires at least four years of experience at the rank of Assistant Professor, three of which must be at the University of Louisville. Promotion at this level is based on evidence of broad proficiency in Criteria A, B, and C, so as to show continuing promise to develop the good successful performance

in the faculty member's individual strengths, see Minimum Guidelines, Sec. 4.E. Such proficiency will involve successful performance in the faculty member's position and, normally, at least position; productivity in professional performance; contributions to the written scholarly record; and service to the University Libraries, the University, the profession, and/or the community. One accomplishment in Criterion B and one activity accomplishment in Criterion C for each year since the last personnel action with a minimum of four in each criterion. The typical expectation for accomplishment in B is (Two of the accomplishments in Criterion B must be scholarly articles in peer reviewed journals or published works demonstrating a comparable level of scholarship and one scholarly presentation at a meeting of a professional organization. One must be a scholarly presentation at a meeting of a professional organization.

It must be evident that activity in Criterion B and C is consistent and will continue, with indications that these contributions will continue. See Appendix II, Sec. I, for characteristics of the Associate Professor rank. In the case of those achieving tenure

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Comment [a16]: Candidate has option to rebut file after Dean makes unit recommendation but before recommendation sent to Provost.

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Comment [a17]: Proposed requirements for promotion. See below.

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Comment [a18]: Suggested requirements in B and C for promotion to Assistant Professor. Note: activity in B includes posters, presentations (state, regional, national or international) this does not require publication for this promotion. Activity in C can be service on state and regional committees, does not require national-level service or election/appointment to any professional offices or positions.

Comment [a19]: Suggested requirements in B and C for promotion to Associate Professor. Note that an accomplishment in B could be a poster or presentation at a state or regional meeting (i.e., KLA). It does NOT require publication each year, only two peer reviewed or comparable scholarly works over the entire probationary period. Note that an activity in C could be service on a committee in a state or regional organization. Does not require national service, elected or appointed offices.

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1 with this promotion, the criteria for tenure must be met, as described in Sec. 2.23.3
2 and Appendix II.

3 4. Promotion from Associate Professor to Professor

4 Promotion from Associate Professor to Professor normally requires a minimum of
5 five years of experience at the rank of Associate Professor, three of which must be
6 at the University of Louisville. ~~Promotion at this level is based on Candidates for~~
7 ~~Promotion to Professor must be evaluated in the areas and by the distribution of~~
8 ~~effort specified in their approved annual workplans for the period under review. At~~
9 ~~this level is based on evidence of successful performance in the faculty member's~~
10 ~~position. a strong record of productivity in professional performance;~~
11 ~~contributions to the written scholarly record; and service to the University Libraries;~~
12 ~~the University, the profession, and/or the community. The typical expectation in~~
13 ~~Criterion B for promotion to Professor is, the faculty member must have at least~~
14 ~~three publications scholarly articles in peer-reviewed publications, journals or~~
15 ~~published works demonstrating a comparable level of scholarship, and at least three~~
16 ~~scholarly presentations at meetings of professional organizations organization since~~
17 ~~attaining the rank of Associate Professor. In Criterion C, the faculty member must~~
18 ~~have an accomplishment in the typical expectation is at least one activity for each~~
19 ~~year since the attaining the rank of promotion to Associate Professor. last personnel~~
20 ~~action. It must be evident that activity in Criterion B and C is consistent and will~~
21 ~~continue, with indications that these contributions will continue. While variable~~
22 ~~career emphasis may be considered, promotion at this level must meet the criteria~~
23 ~~established above, see Minimum Guidelines, Sec. 4. F. See Appendix II, Sec. I, for~~
24 characteristics of the Professor rank.

Comment [a20]: These requirements based on overall productivity not productivity within a certain time frame as there is no time requirement for promotion to Professor. Activity not required annually in either B or C to account for variable career emphasis if required by Dean or supervisor.

25
26 **B. Criteria for Promotion in Rank for Part-Time Faculty**

27 ~~4-a.~~ It is recognized that the responsibilities of part-time faculty may differ significantly
28 from those with full-time appointments. In a promotion consideration, there should be
29 tangible evidence that a candidate's contributions are significant to the mission of the
30 University Libraries.

31 ~~b. Neither seniority nor time in rank is to be the sole basis for promotion. The criteria for~~
32 ~~promotion of part-time faculty members are the same as those for full-time as described~~
33 ~~above. It is expected that the majority, if not all, the faculty member's work will focus on~~
34 ~~critierion A. Part-time faculty shall be held to the criteria specified for full-time faculty with~~
35 ~~consideration for their percentage effort and work assignment.~~

36
37 **2.3.2B. Procedures for promotion Evaluation for Promotion**

- 38 1. For the purposes of promotion reviews, the University Libraries are a unit without departments or
39 divisions.
- 40 2. The Personnel Committee will notify faculty members as they become eligible for promotion review.
- 41 3. The candidate will submit relevant material for review, as described in Appendix II. Promotions from
42 Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require
43 external review. Procedures for external review are outlined in Appendix II.
- 44 4. The candidate will be shown any material included in the promotion dossier upon request. The
45 candidate may rebut any material in the file within five working days of the deadline for receipt of
46 material by the Personnel Committee.
- 47 5. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel
48 Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the
49 Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and
50 these faculty members will cast votes by written secret ballot for or against promotion for each
51 candidate under review. The vote tally will be announced to those present at the meeting. Absentee

1 ballots will not be permitted, however virtual participation in the discussion and voting will be
2 allowed. Any faculty member present may call for discussion of a candidate's dossier.

- 3 6. The Personnel Committee will tally the votes, record the full vote count for each candidate under
4 review, and incorporate this into their recommendation to the Dean. The Personnel Committee will
5 base its recommendation on the criteria for promotion and the documentation listed in Appendix II,
6 and may seek additional information in writing, if necessary.
- 7 7. The Personnel Committee will communicate its recommendation regarding promotion in writing to
8 the Dean. ~~The candidate will be notified when the Personnel Committee recommendation has been~~
9 placed in his or her file. This recommendation will be included in all higher levels of review.
- 10 8. The faculty member may add newly available material evidence for reconsideration by the previous
11 evaluators ~~or rebuttals~~ before the file is forwarded to the Executive Vice President and University
12 Provost.
- 13 9. ~~The recommendation of the dean shall be the unit recommendation forwarded to all higher levels of~~
14 ~~review. Thereafter the Redbook process is followed, Sec. 4.2.2.H.~~ Based on the file compiled
15 through this process, the Dean will make the unit recommendation. The recommendation of the
16 Dean shall be the unit recommendation forwarded to all higher levels of review. Prior to submitting
17 the unit recommendation to the Executive Vice President and University Provost, the candidate will
18 have the opportunity to review the recommendations and, within five working days, write a rebuttal
19 if desired. The Dean will forward the triptych to the Executive Vice President and University
20 Provost and will notify the Personnel Committee, the supervisor, and the candidate of the unit
21 recommendation. ~~Thereafter the Redbook process is followed, Sec. 4.2.2.H.~~
- 22 10. If the Executive Vice President and University Provost disagrees with the unit recommendation, the
23 Executive Vice President and University Provost will send a statement of the reasons for his or her
24 recommendation to the faculty member and the Dean, each of whom will have the opportunity to
25 respond in writing prior to any recommendation to the President. The file containing all comments
26 and recommendation will be made available to the President.
- 27 11. If the recommendation of the Executive Vice President and University Provost is negative, the
28 candidate must be notified by certified mail. The candidate may request a hearing before the
29 University Faculty Grievance Committee within ten working days following receipt of the certified
30 letter.
- 31 12. The Executive Vice President and University Provost will prepare a recommendation for the
32 President's review, and the President makes the final recommendation to the Board of Trustees.
- 33 13. In any case where the initial recommendation to deny promotion is by the President, the candidate
34 will be notified of the reason in writing by the President and may appeal to the University Faculty
35 Grievance Committee within ten working days following the President's notice. The report of the
36 University Faculty Grievance Committee will make a recommendation for promotion or denial of
37 promotion to the Board of Trustees. The President and the candidate have ten working days
38 following the report of the University Faculty Grievance Committee to submit their written
39 responses to the report to the Board of Trustees.
- 40 14. In all cases, the Board of Trustees makes the final decision on promotion.
 - 41 A. For the purposes of promotion reviews, the University Libraries are a unit without departments or
42 divisions.
 - 43 _____
 - 44 B. The Personnel Committee will notify faculty members as they become eligible for promotion
45 review.
 - 46 _____
 - 47 C. The candidate will submit relevant material for review, as described in Appendix II. Promotions
48 from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will
49 require external review. Procedures for external review are outlined in Appendix II.

Comment [a21]: Method can be determined by Nominating Committee.

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1 D. The candidate will be shown any material included in the promotion dossier upon request. The
2 candidate may rebut any material in the file within five working days of the deadline for receipt of
3 material by the Personnel Committee.

4
5 E. After providing access to the candidate's dossier for a period of no less than three ten days weeks,
6 the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought
7 (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend
8 virtually, and these faculty members will cast votes by written secret ballot for or against promotion
9 for each candidate under review. The vote tally will be announced to those present at the meeting.
10 Absentee ballots will not be permitted, however virtual participation in the discussion and voting will
11 be allowed. Any faculty member present may call for discussion of a candidate's dossier.

12
13
14 F. The Personnel Committee will tally the votes, record the full vote count for each candidate under
15 review, and incorporate this into their recommendation to the Dean. The Personnel Committee will
16 base its recommendation on the criteria for promotion and the documentation listed in Appendix H,
17 and may seek additional information in writing, if necessary.

18
19 G. The Personnel Committee will communicate its recommendation regarding promotion in writing
20 to the Dean. The candidate will be notified when the Personnel Committee recommendation has
21 been placed in his or her file. This recommendation will be included in all higher levels of review.

22
23 H. The faculty member may add newly available material evidence for reconsideration by the
24 previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and
25 University Provost Executive Vice President and University Provost.

26
27 I. The recommendation of the dean shall be the unit recommendation forwarded to all higher levels
28 of review. Thereafter the Redbook process is followed. Sec. 4.2.2.H. Based on the file compiled
29 through this process, the Dean will make the unit recommendation. The Dean will forward the
30 triptych to the Provost Executive Vice President and University Provost and will notify the Personnel
31 Committee, the program director, and the candidate of the unit recommendation.

32
33 J. If the Provost Executive Vice President and University Provost disagrees with the unit
34 recommendation, the Provost Executive Vice President and University Provost will send a statement
35 of the reasons for his or her recommendation to the faculty member and the Dean, each of whom
36 will have the opportunity to respond in writing prior to any recommendation to the President. The
37 file containing all comments and recommendation will be made available to the President.

38
39 K. If the recommendation of the Provost Executive Vice President and University Provost is
40 negative, the candidate must be notified by certified mail. The candidate may request a hearing before
41 the University Faculty Grievance Committee within ten working days following receipt of the
42 certified letter.

43
44 L. The Provost Executive Vice President and University Provost will prepare a recommendation for
45 the President's review, and the President makes the final recommendation to the Board of Trustees.

46
47 M. In any case where the initial recommendation to deny promotion is by the President, the
48 candidate will be notified of the reason in writing by the President and may appeal to the University
49 Faculty Grievance Committee within ten working days following the President's notice. The report
50 of the University Faculty Grievance Committee will make a recommendation for promotion or
51 denial of promotion to the Board of Trustees. The President and the candidate have ten working

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Comment [s22]: Needs wording from the amendment passed by the ULF

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Comment [m23]: Get proper language from minutes

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1 days following the report of the University Faculty Grievance Committee to submit their written
2 responses to the report to the Board of Trustees.

3
4 N. In all cases, the Board of Trustees makes the final decision on promotion.

5 6 **2.3.3 Tenure review**

7 **A. Time Required**

8 1. Each faculty member eligible for tenure must be evaluated within twelve months after five years of
9 service applied toward tenure. In most cases, the tenure review will occur at the same time as the
10 review for promotion to Associate Professor.

11 2. All probationary faculty who have had seven years of service counted in a tenurable faculty
12 position, if reemployed full-time, shall be granted tenure.

13 14 **B. Leaves of Absence**

15 One year spent on an officially approved leave of absence may be counted toward the seven years of
16 full-time necessary for tenure. Any leave granted during the probationary period must carry with it a
17 stipulation in writing as to whether the leave counts toward tenure.

18 19 **C. Extension of a Probationary Period**

20 A faculty member who faces extenuating circumstances that do not require a leave of absence but
21 result in a significant reduction in ability to perform normal duties may request an extension of the
22 probationary period for no less than six months and no more than one year. Such extensions must be
23 requested and approved before the end of the fifth year of the probationary period and must have
24 documentation satisfactory to the Provost Executive Vice President and University Provost.

25 26 **D. Pre-Tenure Review**

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

35 36 37 38 **E. Early Tenure**

39 Tenure may be granted at the time of initial appointment or in less than seven years when such
40 action is warranted. A faculty member may request only one evaluation for early tenure. Evaluation
41 for early tenure shall proceed as indicated in *The Redbook* Sec 4.2.2.H unless the faculty member
42 under review requests its withdrawal.

43 Early tenure may be granted as indicated in *The Redbook*.

44 45 **F. Criteria for Tenure**

46 1. Completion of the probationary period with proficient annual or pre-tenure reviews is not
47 sufficient grounds for tenure. Candidates must demonstrate the level of performance required for
48 promotion to Associate Professor as described in Sec. 2.3.1A3, and the promise of continuing
49 contributions at a significant level to the mission and operations of the University Libraries, as
50 described in Appendix II. It should be noted that tenure is a more critical action than promotion
51 because it is evidence of the University's firm and enduring commitment to the individual.

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1 2. Faculty members in a probationary status will be affected by any amendments to or change in the
2 criteria for tenure subsequent to their appointment. In such cases, appropriate consideration will be
3 given to the amount of time remaining in their probationary period when the change becomes
4 effective.
5

6 **2.3.4 Procedures for Tenure**

7 A. For the purposes of tenure reviews, the University Libraries are a unit without departments or
8 divisions.
9

10 B. Each faculty member eligible for tenure must be evaluated within twelve months after five years
11 of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated
12 unless the faculty member resigns or is subject to termination.
13

14 C. The Personnel Committee will notify faculty members as they become eligible for tenure review.
15

16 D. The candidate will submit relevant material for review, as described in Appendix H. Tenure
17 reviews will require external review. In the case of tenure with promotion only one dossier will be
18 submitted. Procedures for external review are outlined in Appendix H.
19

20 E. The candidate will be shown any material included in the tenure dossier upon request. The
21 candidate may rebut any material in the file within five working days of the deadline for receipt of
22 material by the Personnel Committee.
23

24 F. After providing access to the candidate's dossier for a period of no less than ten days three weeks,
25 the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought
26 (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend
27 virtually, and these faculty members will cast votes by written secret ballot for or against promotion
28 for each candidate under review. The vote tally will be announced to those present at the meeting.
29 Absentee ballots will not be permitted, however virtual participation in the discussion and voting will
30 be allowed. Any faculty member present may call for discussion of a candidate's dossier.
31

32 G. The Personnel Committee will tally the votes, record the full vote count for each candidate under
33 review, and incorporate this into their recommendation to the Dean. The Personnel Committee will
34 base its recommendation on the criteria for tenure and the documentation listed in Appendix H, and
35 may seek additional information in writing, if necessary.
36

37 H. The Personnel Committee will communicate its recommendation regarding tenure in writing to
38 the Dean. The candidate will be notified when the Personnel Committee recommendation has been
39 placed in his or her file. This recommendation will be included in all higher levels of review.
40

41 I. The faculty member may add newly available material evidence for reconsideration by the previous
42 evaluators or rebuttals before the file is forwarded to the Executive Vice President and University
43 Provost Executive Vice President and University Provost.
44

45 J. Based on the file compiled through this process, the Dean will make the unit recommendation.
46 The recommendation of the dean shall be the unit recommendation forwarded to all higher levels of
47 review. Thereafter the Redbook process is followed, Sec. 4.2.2.H. The Dean will forward the triptych
48 to the Provost Executive Vice President and University Provost and will notify the Personnel
49 Committee, the program director, and the candidate of the unit recommendation.
50

51 K. If the Provost Executive Vice President and University Provost disagrees with the unit
52 recommendation, the Provost Executive Vice President and University Provost will send a statement

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of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.

L. If the recommendation of the Provost/Executive Vice President and University Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.

M. The Provost/Executive Vice President and University Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.

N. In any case where the initial recommendation to deny tenure is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's notice. The report of the University Faculty Grievance Committee will make a recommendation for tenure or denial of tenure to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.

O. In all cases, the Board of Trustees makes the final decision on tenure.

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2.4 PERIODIC CAREER REVIEW

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

B. Faculty members with tenure shall undergo a career review after every fifth year of service with the following exceptions:

1. A successful promotion review will serve as a career review, and the next review will not take place until five years after the promotion review.
2. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year.
3. Faculty members planning to request promotion to Professor in the next academic year may defer review for one year.

Comment [s24]: Not a document change, just a problem with initial formatting.

C. All Redbook rights of due process and appeal for faculty will apply in these reviews.

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D. Procedures for Periodic Career Review

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1. All periodic career reviews for faculty members with tenure shall take place in the spring semester of the academic year.
2. The calendar for PCR is outlined in the University Libraries Faculty Personnel Committee Manual. The Personnel Committee will notify those faculty members scheduled for review, their program directors/supervisors, and the Dean.
3. The Personnel Committee will conduct the review and base its evaluation on annual reviews and associated documentation for each of the five years being reviewed. The faculty member may add any appropriate material.
4. The evaluation report will characterize the faculty member's overall contribution as exceptional, satisfactory: meeting University Libraries criteria, or unsatisfactory: not meeting University Libraries criteria.

Comment [a25]: Minimum Guidelines, Sec V states that faculty member will be evaluated as "satisfactory: meeting unit criteria" or "unsatisfactory: not meeting unit criteria." There is no provision for "exceptional"; therefore, the language on awarding exceptional review has been removed.

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E. If the faculty member has received at least a proficient rating in all annual reviews for the specified review period, the faculty member has met the University Libraries criteria. The Personnel

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1 Committee will review the file and characterize the member's contribution as satisfactory: meeting
2 University Libraries criteria ~~or exceptional~~.

3 ~~bF.~~ If the faculty member has not received at least a proficient rating in all annual reviews for the
4 specified review period, the Personnel Committee will review the material to determine whether the
5 faculty member's performance has met the University Libraries criteria overall meriting a satisfactory
6 rating, or is unsatisfactory.

7 ~~c. If the conclusion of the report is that the faculty member's overall contribution
8 has been exceptional over the review period, the faculty member normally should be
9 awarded a supplemental salary increase. The Dean shall determine the amount of
10 any such salary increase.~~

11 ~~G. Supplementary salary increases may be awarded per the Minimum Guidelines, Sec. IV.~~

12 ~~SH.~~ The Personnel Committee will forward its recommendations regarding PCR to the Dean. The
13 Dean will issue the final evaluation report to the faculty member and will notify the
14 ~~Provost/Executive Vice President and University Provost~~ in writing indicating satisfactory or
15 unsatisfactory results.

16 ~~a1.~~ If the conclusion of the report is that the faculty member's overall contribution has been
17 satisfactory ~~or exceptional~~ over the review period, the faculty member begins the five-year
18 review cycle in the following year.

19 ~~b2.~~ If the conclusion of the report is that the faculty member's overall contribution has been
20 unsatisfactory, the report will state the deficiency(ies) that was (were) the basis for this
21 conclusion. Within thirty calendar days of receipt of the report, the faculty member, in
22 consultation with the appropriate ~~program directors/supervisor~~ and the Dean, will prepare a
23 career development plan to remedy the deficiency(ies) in one year unless the Dean approves
24 a longer period.

25 ~~4a.~~ If the faculty member completes the agreed-upon career development plan, the
26 faculty member shall then have one year to demonstrate satisfactory performance.
27 The faculty member will then undergo another periodic review in the following
28 academic year.

29 ~~2b.~~ If the faculty member fails to complete the agreed-upon career development
30 plan, the faculty member may ask for an extension of one year, to be granted at the
31 discretion of the Dean. After the extension, the Personnel Committee, the Dean,
32 and the ~~program directors/supervisor~~ will assess the faculty member's progress in the
33 completion of the professional development plan.

34 i. If satisfactory, a special career review will be conducted one year later by
35 the Personnel Committee in conjunction with the Dean and the ~~program
36 director/supervisor~~.

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

41 ~~2.5 CONTRACT RENEWAL~~

42 ~~2.5.1 Probationary faculty~~

43 ~~A. The calendar for contract renewal is outlined in the University Libraries Faculty Personnel
44 Committee Manual.~~

45 ~~B. Faculty members who have been promoted within the year of contract review will automatically
46 be recommended for contract renewal and will not be required to undergo the contract renewal
47 review process.~~

48 ~~C. The Personnel Committee will review the faculty member's annual reviews, including the program
49 director/supervisor's evaluations for the period covered by the concluding contract and
50 recommendation on renewal. The faculty member may add any appropriate material.~~

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Comment [a26]: Reference to "exceptional" performance removed. Supplemental salary increase now follows Minimum Guidelines.

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Comment [m27]: Contract renewal is at the discretion of the dean.

D. The Personnel Committee will submit a summary report to the Dean. The report will indicate whether the faculty member has in the span of the contract fulfilled his or her obligations according his or her annual workplan. The report will also include the program director/supervisor's written recommendation on contract renewal.

2.5.2 Term Faculty

Term faculty members will undergo a contract renewal review. The Personnel Committee will conduct contract renewal reviews. Contract renewal for term faculty is dependent upon successfully fulfilling the contractual obligations as outlined in the annual workplan(s). All contract renewals are at the discretion of the Board of Trustees. See Sec. 1.1.A.2.d.

2.5.3 Part-Time Faculty

Part time faculty members will undergo a contract renewal review. Contract renewal for term faculty is dependent upon successfully fulfilling the contractual obligations as outlined in the annual workplan(s). All contract renewals are at the discretion of the Board of Trustees. See Sec. 1.1.A.2.d.

2.5.4 Non-Renewal of Contract

When a decision not to renew a contract has first been reached, the Dean will inform the faculty member involved of that decision in writing. If the faculty member so requests, the Dean will advise the faculty member orally of circumstances that contributed to that decision. If the faculty member so requests, a written explanation of factors contributing to non-renewal will be given. Non-renewal of contracts is neither subject to appeal nor eligible for the grievance process.

3 CONDITIONS OF FACULTY EMPLOYMENT

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

3.1 SABBATICAL LEAVE

The sabbatical leave is recognized as a serious professional responsibility and shall be used for activities that will improve the faculty member's contribution to the Libraries' mission. A tenured ULF member at the rank of Associate Professor or higher with six years of full-time service at the University of Louisville may petition for a sabbatical leave of absence for six months leave with full pay or twelve months leave with one half pay in accordance with the procedures outlined in *The Redbook*. Sabbatical leave will be granted only upon the approval of the Dean, the Provost/Executive Vice President and University Provost, and the President. No leave will be granted without the guarantee of at least one year of continued full time service after return from the sabbatical leave.

3.24 GRIEVANCE RESOLUTION OF DISAGREEMENTS

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

3.35 TERMINATION OF SERVICE

3.3.1 Termination of Service of Tenured or Probationary Faculty follows Redbook Article 4.5.

A. Termination of Appointment by a Faculty Member

A faculty member may terminate an appointment effective at the end of a contract year, provided that notice is given to the Dean in writing at the earliest possible opportunity, preferably within thirty days of receiving notification of the terms of the appointment for the coming year. The faculty member may properly request from the Dean a waiver of the requirement of notice in the case of hardship.

B. Probationary Academic Appointments

Comment [a28]: The only portion of the Redbook section on Conditions for Faculty Employment that applies to the ULF is 4.3.5 Sabbatical. The language was a duplication of the Redbook except the phrase "will improve the faculty member's contribution to the University Libraries mission." The Redbook simply states the "University's mission". We felt that we could omit the specific reference to the University Libraries and simply refer all of Section 3 to the Redbook since the Redbook always supersedes unit document anyhow.

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Comment [a29]: The deleted section 3.2.4 of the current Personnel Document, "Termination of Service" is a verbatim copy of this section of the Redbook.

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1 When a decision not to renew an appointment has first been reached, the faculty member involved
2 will be informed of that decision in writing by the Dean and, if he or she so requests, will be advised
3 orally of circumstances that contributed to that decision. If the faculty member so requests, the
4 professional, academic, budgetary, management, planning, or other factors given in explanation of
5 the nonrenewal will be confirmed in writing. The faculty member may request a review under
6 provisions of the grievance procedure as stipulated in *The Redbook*. Written notice that a probationary
7 appointment is not to be renewed shall be given to a faculty member in advance of the expiration of
8 the appointment, according to the following minimum periods of notice.

9 1. **First Year of Probationary Service** In the first year of probationary service at the
10 University of Louisville, not less than ninety days before the expiration of the contract.

11 2. **Second Year of Service** Not later than six months before the end of the second contract
12 year at the University of Louisville.

13 3. **Service of More Than Two Years** After two or more years of service at the University
14 of Louisville, notice of termination shall be given at least twelve months before the
15 expiration of the appointment.

16 **C. Termination of Academic Employment Before the End of a Specified Term or for Persons with** 17 **Tenure**

18 1. Causes

19 a. Termination of an appointment with tenure, or of a special or probationary appointment
20 before the end of the specified term, may be effected by the institution for any of the
21 following causes only if the cause substantially impairs effectiveness as a faculty member:

- 22 i. Incompetence
- 23 ii. Neglect of or refusal to perform one's duty
- 24 iii. Immoral conduct

25 b. Termination of an appointment with tenure, or of a special or probationary appointment
26 before the end of the specified term, may be effected by the institution for financial exigency
27 or bona fide discontinuance or reduction of a unit, a department, a program, or a service. In
28 such case the affected faculty member shall have the right to have the issues reviewed by the
29 University Faculty Grievance Committee, with ultimate review of all controverted issues by
30 the Board of Trustees after recommendation by the Office of the President. This review will
31 include consideration of the range of course offerings of the institution, the importance of
32 the program to the academic objectives of the unit, faculty status, affirmative action, and the
33 prospects for future funding from all possible sources.

34 In every case of financial exigency or discontinuance or reduction of a unit, a department, or
35 program of instruction, the faculty member concerned will be given appropriate notice as
36 specified in *The Redbook* after recommendation by the President. Before terminating an
37 appointment because of the discontinuance of a department, institute, program, or service,
38 every effort will be made to place affected faculty members in other suitable positions. If an
39 appointment is terminated before the end of a period of appointment because of financial
40 exigency, or because of the discontinuance or reduction of a program of instruction, the
41 released faculty member's place will not be filled by a replacement within a period of three
42 years, unless the released faculty member has been offered reappointment and a reasonable
43 period of time within which to accept or decline it.

44 e. Termination of the services of a tenured faculty member for medical reasons, or of a non-
45 tenured faculty member before the end of the period of appointment for such reasons, will
46 be based upon clear and convincing evidence and, if the faculty member so requests, shall be
47 reviewed by the University Faculty Grievance Committee before the President makes a
48 recommendation to the Board of Trustees for final decision.

49 d. Such recommendations of the University Faculty Grievance Committee shall be presented
50 with the recommendation of the President to the Board of Trustees.

2. Procedures The procedures for termination of academic employment before the end of a specified term or for persons with tenure are specified in *The Redbook* appendix, Termination Procedures.

D. Action by the Board of Trustees

If dismissal or other penalty is to be recommended by the President, the President will, on request of the faculty member submitted ten calendar days prior to the next regularly scheduled meeting of the Board of Trustees, transmit the record of the case to the Board of Trustees. The Board's review will be based on the record of the hearings and findings of the University Faculty Grievance Committee and it will provide opportunity for argument, oral or written or both, by the faculty member and the University or by their representatives. The Board of Trustees will then exercise its final authority and take appropriate action.

E. Suspensions

Until the final decision upon termination of an appointment has been reached, the faculty member may be suspended or assigned to other duties by the Dean of the unit with the approval of the President. Suspension is appropriate only pending a hearing, and if harm to the faculty member or to others is threatened by continuance in the appointment. Salary will continue during the period of suspension.

3.3.2 Termination of Service of Term Faculty

For termination of any ULF term member, see Sec. 2.5.4 of this document, Non-Renewal of Contract.

4-6 PROCEDURE FOR AMENDING UNIVERSITY LIBRARIES FACULTY PERSONNEL DOCUMENT

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

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

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

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DOCUMENT APPROVED BY THE UNIVERSITY LIBRARIES FACULTY, 230 SEPTEMBER
FEBRUARY 2010.
DOCUMENT APPROVED BY THE UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES, 12 NOVEMBER
2010.

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

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

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

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

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

1 FACULTY APPOINTMENTS AND TENURE

1.1 FULL-TIME APPOINTMENTS

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

1.2 PART-TIME APPOINTMENTS

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

1.3 EMERITUS FACULTY

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

1.4 RANK FOR NEW APPOINTMENTS

A librarian must have a master's degree from an American Library Association-accredited library school or the equivalent professional credentials, or a graduate degree in other professional or

scholarly fields where appropriate. An archivist must have a master's degree in archives administration, history, library science, information management, business administration, or other relevant field.

2 FACULTY PERSONNEL REVIEWS

2.0 PERFORMANCE CRITERIA

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

Criteria A-C will be assessed in writing by the supervisor and the Personnel Committee and will include an evaluation of performance as specified in the annual workplan. The evaluation ratings are exceptional, proficient, needs improvement, and unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank as described in Appendix II. Exceptional and unsatisfactory ratings require additional documentation from the supervisor.

A. Criterion A: Teaching

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

B. Criterion B: Research or Creative Activity

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

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

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

2.1 ANNUAL REVIEWS

A. Annual reviews follow *The Redbook* Sec. 4.2.1 and the *Minimum Guidelines*.

B. All ULF members must be reviewed in writing annually (See Appendix I).

C. Each faculty member creates annually a written workplan in conjunction with his or her supervisor. The workplan will support the mission and goals of the University Libraries and is the basis for all personnel reviews (See Sec. 2.0.)

1. The annual workplan will specify the responsibilities of the faculty member for teaching, research or creative activity, and service. Each faculty member, in agreement with his or her supervisor, will indicate what percentage of effort will be spent in Criteria A-C. The percentages represent an understanding of workload distribution between faculty member and supervisor.
2. Faculty permanently or temporarily appointed or reassigned to specialized roles for the purpose of meeting unit needs may develop workplans that specify activity in only one of those areas.
3. When circumstances require changes in the annual workplan, the faculty member and supervisor must file an amended plan (including an explanation of the necessary changes) for the approval of the Dean. Faculty members may not submit revised annual workplans after November 15.

D. The annual review measures achievement of the goals outlined in the annual workplan and is based on written evidence. Performance evaluations will be based on the individual's accomplishments and contributions in helping the University Libraries meet its goals and objectives in support of the University's strategic plan.

E. Each faculty member will have the opportunity to present documentation of performance and effort relative to his or her annual workplan each year.

F. Each faculty member will be informed in writing by his or her supervisor and by the Personnel Committee of the results of the performance evaluations, any recommendations for improvements, and annual ranking. Each faculty member will be given an opportunity to respond to these recommendations and his or her performance evaluation so that timely adjustments may be made before the final recommendation of the Dean.

G. All salary increase decisions will be at the discretion of the Dean.

1. Criteria A-C will be evaluated in writing by the ULF member's supervisor in conjunction with the Personnel Committee and reported in writing.
2. The evaluations of the supervisor and the Personnel Committee will be provided to the Dean and be the basis of salary increase decisions.
3. The Dean may use a portion (not to exceed 5%) of the funds allocated to the unit for salary increases for a particular year to award special, one-time payments to faculty members for exceptional effort or achievement beyond that rewarded in the regular salary increase process.
4. The standard period of performance to be covered in the review for salary increases will be the preceding calendar year. When there is an increase of 3% or more in the salary pools between two or more consecutive years, the faculty will make a recommendation to the Dean regarding distribution of salary increases taking into consideration the annual rankings achieved by the faculty member over the period.

H. The Dean will report annually to the ULF and to the Executive Vice President and University Provost the distribution of the percentage salary increases received by all faculty members and a description of the evaluation system used to arrive at such salary increases.

I. The Personnel Committee will preserve annual reviews electronically and in the Office of the Dean. Individual faculty members will be responsible for maintaining the documentary evidence supporting each annual review through the next personnel action.

J. A positive annual review does not guarantee promotion, tenure, satisfactory periodic career review, or contract renewal.

K. Annual Review Procedure

1. The calendar for annual review is outlined in the *University Libraries Faculty Personnel Committee Manual*.
2. The Dean will send a letter to each ULF member announcing the date by which documentation of the year's annual performance must be received.
3. Each faculty member will prepare an annual performance summary describing and documenting all activities in Criteria A-C as outlined in the annual workplan. Each faculty member is required to include in the annual review an accounting of all professional work done outside the University.
4. Each faculty member will provide his or her annual workplan and annual performance summary in print and electronic form, as well as documentation to support activities in Criteria A-C, to the supervisor and the Personnel Committee. The supervisor and the Personnel Committee will separately draft comments about the faculty member's performance in Criteria A-C.
5. The supervisor and the Personnel Committee will meet and:
 - a. Discuss each faculty member's performance in Criteria A-C in regard to how he or she met the goals listed in his or her annual workplan.
 - b. Assign an overall rating of exceptional, proficient, needs improvement, or unsatisfactory. An exceptional rating will be awarded only rarely for work that truly goes above and beyond what most faculty members have accomplished in a given year. Both exceptional and unsatisfactory ratings require additional documentation. If there is disagreement about a rating between the supervisor and the Personnel Committee, an attempt to reach consensus will be made. If no consensus can be reached, the supervisor's rating stands for Criterion A, and the Personnel Committee's ratings stand for Criteria B and C, resulting in a split rating for the year.
6. After the meeting, the supervisor will write a formal evaluation of Criterion A and the Personnel Committee will write a brief, formal evaluation of Criteria B-C. Supervisors' evaluations will be forwarded to the Personnel Committee.
7. The Personnel Committee will forward the finalized rating and the evaluation(s) of Criteria A-C to the faculty member and supervisor.
8. The supervisor and the faculty member will meet for discussion of the evaluation of Criteria A-C and, if necessary, develop recommendations for improved performance. Both the supervisor and the faculty member will sign the faculty evaluation summary and forward it back to the Personnel Committee. Each faculty member will be given an opportunity to respond to these recommendations and his or her performance evaluation so that timely adjustments may be made. If agreement cannot be reached, then the faculty member may appeal.
9. The Personnel Committee will rank faculty members according to the ratings and divide them into four discreet groups: high, medium, low, and unsatisfactory. A rating of unsatisfactory precludes consideration for salary increase.
10. The Personnel Committee will forward the files and the rankings to the Dean for consideration in the salary increase decisions. If a faculty member achieves an exceptional performance for the year, the Personnel Committee may recommend to the Dean that the faculty member be awarded a special, one-time payment as provided for in Sec. 2.1.G
11. The Dean will make salary decisions and inform each faculty member in writing of his or her salary decision.

- a. Only faculty whose overall performance is judged to be at the level of needs improvement or above in Criteria A-C will receive a salary increase. Faculty who are judged to be overall unsatisfactory will not be eligible for a salary increase.
- b. A decision for a zero salary increase must be submitted for approval of the Executive Vice President and University Provost. This decision will include the reasons for the zero salary increase and specific suggestions for improving any performance considered to be unsatisfactory.

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

L. Annual Review Appeal Process

1. The annual review appeal process is conducted outside of the University's formal grievance procedure.
2. Faculty members have the opportunity to appeal the performance evaluation in writing to the Dean within five working days of receipt of the letter. The Dean will reconsider the performance evaluation for that faculty member and respond in writing to the faculty member's appeal within five working days. When the appeal is made by a faculty member who is evaluated by the Dean, the Dean will designate another faculty member to review and respond to the appeal within the specified time frame. The designee will be a tenured person at or above the rank of the faculty member making the appeal, will not be a member of the Personnel Committee, and must be agreed to by the appellant.
3. Salary decisions may be appealed in writing to the Dean within five working days of receipt of the letter. The Dean will reconsider the salary decision and respond in writing to the faculty member's appeal within five working days.

2.2 TENURE REVIEWS

A. Length of Probationary Period

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

B. Leaves of Absence

One year spent on an officially approved leave of absence may be counted toward the seven years of full-time necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure.

C. Extension of Probationary Period

See *The Redbook* Sec. 4.2.2.C.

D. Pre-Tenure Review

Faculty members will undergo a comprehensive pre-tenure review, typically after the third year of service in the University Libraries. If a faculty member receives three or more years of credit toward tenure when he or she is hired, the hiring process may be considered a pre-tenure review. The purpose of the pre-tenure review is to inform the faculty member about progress toward meeting the University Libraries' standards for tenure. The review will be conducted with the same level of rigor

and by the same process as a tenure review; however, external reviews are not required. Faculty members undergoing a pre-tenure review will receive the results in writing. This review is advisory only and does not constitute sufficient justification for award or denial of tenure.

E. Early Tenure

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

F. Criteria for Tenure

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

G. Evaluation for Tenure

1. For the purposes of tenure reviews, the University Libraries are a unit without departments or divisions.
2. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated unless the faculty member resigns or is subject to termination.
3. The Personnel Committee will notify faculty members as they become eligible for tenure review.
4. The candidate will submit relevant material for review, as described in Appendix II. Tenure reviews will require external review. In the case of tenure with promotion only one dossier will be submitted. Procedures for external review are outlined in Appendix II.
5. The candidate will be shown any material included in the tenure dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
6. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by written secret ballot for or against promotion for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate's dossier.
7. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for tenure and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
8. The Personnel Committee will communicate its recommendation regarding tenure in writing to the Dean. This recommendation will be included in all higher levels of review.

9. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost.

10. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.

2.3 PROMOTION IN RANK

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

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

1. Lecturers are not eligible for promotion.

2. Promotion from Instructor to Assistant Professor

Promotion from Instructor to Assistant Professor requires at least two years of experience at the rank of Instructor, one of which must be at the University of Louisville. Promotion from Instructor to Assistant Professor is based primarily on evidence of successful performance in the faculty member's position, and with at least one accomplishment in Criterion B and Criterion C each over the review period. See Appendix II, Sec. I, for characteristics of the Assistant Professor rank.

3. Promotion from Assistant Professor to Associate Professor

Promotion from Assistant Professor to Associate Professor normally requires at least four years of experience at the rank of Assistant Professor, three of which must be at the University of Louisville. Promotion at this level is based on evidence of broad proficiency in Criteria A, B, and C, so as to show continuing promise to develop the faculty member's individual strengths, see *Minimum Guidelines*, Sec. 4.E. Such proficiency will involve successful performance in the faculty member's position and, normally, at least one accomplishment in Criterion B and one activity in Criterion C for each year since the last personnel action with a minimum of four in each criterion. The typical expectation for accomplishment in B is two scholarly articles in peer reviewed journals or works demonstrating a comparable level of scholarship and one scholarly presentation at a meeting of a professional organization. It must be evident that activity in Criterion B and C is consistent and will continue. See Appendix II, Sec. I, for characteristics of the Associate Professor rank. In the case of those achieving tenure with this promotion, the criteria for tenure must be met, as described in Sec. 2.2 and Appendix II.

4. Promotion from Associate Professor to Professor

Promotion from Associate Professor to Professor normally requires a minimum of five years of experience at the rank of Associate Professor, three of which must be at the University of Louisville. Candidates for promotion to Professor must be evaluated in the areas and by the distribution of effort specified in their approved annual workplans for the period under review. The typical expectation in Criterion B for promotion to Professor is at least three scholarly articles in peer-reviewed journals or works demonstrating a comparable level of scholarship, and at least three scholarly presentations at meetings of professional organizations since

attaining the rank of Associate Professor. In Criterion C, the typical expectation is at least one activity for each year since promotion to Associate Professor. It must be evident that activity in Criterion B and C is consistent and will continue. See Appendix II, Sec. I, for characteristics of the Professor rank.

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

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

B. Evaluation for Promotion

1. For the purposes of promotion reviews, the University Libraries are a unit without departments or divisions.
2. The Personnel Committee will notify faculty members as they become eligible for promotion review.
3. The candidate will submit relevant material for review, as described in Appendix II. Promotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require external review. Procedures for external review are outlined in Appendix II.
4. The candidate will be shown any material included in the promotion dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
5. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by written secret ballot for or against promotion for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate's dossier.
6. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for promotion and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
7. The Personnel Committee will communicate its recommendation regarding promotion in writing to the Dean. This recommendation will be included in all higher levels of review.
8. The faculty member may add newly available material evidence for reconsideration by the previous evaluators before the file is forwarded to the Executive Vice President and University Provost.
9. Based on the file compiled through this process, the Dean will make the unit recommendation. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Prior to submitting the unit recommendation to the Executive Vice President and University Provost, the candidate will have the opportunity to

review the recommendations and, within five working days, write a rebuttal if desired. The Dean will forward the triptych to the Executive Vice President and University Provost and will notify the Personnel Committee, the supervisor, and the candidate of the unit recommendation. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.

10. If the Executive Vice President and University Provost disagrees with the unit recommendation, the Executive Vice President and University Provost will send a statement of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.

11. If the recommendation of the Executive Vice President and University Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.

12. The Executive Vice President and University Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.

13. In any case where the initial recommendation to deny promotion is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's notice. The report of the University Faculty Grievance Committee will make a recommendation for promotion or denial of promotion to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.

14. In all cases, the Board of Trustees makes the final decision on promotion.

2.4 PERIODIC CAREER REVIEW

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

B. Faculty members with tenure shall undergo a career review after every fifth year of service with the following exceptions:

1. A successful promotion review will serve as a career review, and the next review will not take place until five years after the promotion review.
2. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year.
3. Faculty members planning to request promotion to Professor in the next academic year may defer review for one year.

C. All of *The Redbook* rights of due process and appeal for faculty will apply in these reviews.

D. Procedures for Periodic Career Review

1. All periodic career reviews for faculty members with tenure shall take place in the spring semester of the academic year.
2. The calendar for PCR is outlined in the *University Libraries Faculty Personnel Committee Manual*. The Personnel Committee will notify those faculty members scheduled for review, their supervisors, and the Dean.
3. The Personnel Committee will conduct the review and base its evaluation on annual reviews and associated documentation for each of the five years being reviewed. The faculty member may add any appropriate material.

4. The evaluation report will characterize the faculty member's overall contribution as satisfactory: meeting University Libraries criteria, or unsatisfactory: not meeting University Libraries criteria.

E. If the faculty member has received at least a proficient rating in all annual reviews for the specified review period, the faculty member has met the University Libraries criteria. The Personnel Committee will review the file and characterize the member's contribution as satisfactory: meeting University Libraries criteria.

F. If the faculty member has not received at least a proficient rating in all annual reviews for the specified review period, the Personnel Committee will review the material to determine whether the faculty member's performance has met the University Libraries criteria overall meriting a satisfactory rating, or is unsatisfactory.

G. Supplementary salary increases may be awarded per the *Minimum Guidelines*, Sec. V.

H. The Personnel Committee will forward its recommendations regarding PCR to the Dean. The Dean will issue the final evaluation report to the faculty member and will notify the Executive Vice President and University Provost in writing indicating satisfactory or unsatisfactory results.

1. If the conclusion of the report is that the faculty member's overall contribution has been satisfactory over the review period, the faculty member begins the five-year review cycle in the following year.

2. If the conclusion of the report is that the faculty member's overall contribution has been unsatisfactory, the report will state the deficiency(ies) that was (were) the basis for this conclusion. Within thirty calendar days of receipt of the report, the faculty member, in consultation with the appropriate supervisor and the Dean, will prepare a career development plan to remedy the deficiency(ies) in one year unless the Dean approves a longer period.

a. If the faculty member completes the agreed-upon career development plan, the faculty member shall then have one year to demonstrate satisfactory performance. The faculty member will then undergo another periodic review in the following academic year.

b. If the faculty member fails to complete the agreed-upon career development plan, the faculty member may ask for an extension of one year, to be granted at the discretion of the Dean. After the extension, the Personnel Committee, the Dean, and the supervisor will assess the faculty member's progress in the completion of the professional development plan.

i. If satisfactory, a special career review will be conducted one year later by the Personnel Committee in conjunction with the Dean and the supervisor.

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

3 CONDITIONS OF FACULTY EMPLOYMENT

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

4 RESOLUTION OF DISAGREEMENTS

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

5 TERMINATION OF SERVICE

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

6 PROCEDURE FOR AMENDING UNIVERSITY LIBRARIES FACULTY PERSONNEL DOCUMENT

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

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

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

DOCUMENT APPROVED BY THE UNIVERSITY LIBRARIES FACULTY, 20 FEBRUARY 2012.

Appendix I: Annual Review

See also *Personnel Document*, 2.0.

The results of annual reviews are independent from promotion and/or tenure reviews. Incentives may be given through annual reviews for work that requires both time and conscientious effort and that is essential to the governance of the Libraries faculty, consistent with the strategic plans of the university, or integral to the operation of professional organizations, but that may not reflect the kind of contributions expected for tenure. Early in the pre-tenure period the faculty member should develop a program that will demonstrate progress toward long-term goals, emphasizing quality over quantity. As part of the annual review for persons with promotions ahead of them, the Personnel Committee will highlight contributions that they believe would make worthy components of the promotion/tenure file as described in Appendix II. No decision or advice by one Personnel Committee for annual review should be considered binding on future Committees.

The criteria presented in this document should be interpreted within the framework of the peer review process. Benchmarks and lists serve as guides rather than prescriptions. They are not substitutes for judgment on the part of any reviewing body. Nor should they be viewed as a guarantee of promotion or tenure at a later date. The expectations for any particular faculty member will, in part, be determined by where he or she is in his or her professional career. In general, certain qualities and characteristics are associated with the stages of one's career (see Appendix II). Additionally, general factors are expected of all faculty members regardless of rank. These include, but are not limited to:

- effective communication skills
- professionalism, collegiality, dependability, adaptability
- independence and responsibility
- consistency of performance and accuracy
- initiative, creativity
- quality of decision making, judgment, influence, impact and leadership
- organizational skills, planning, supervision, management
- ability to relate job functions to the goals of the Libraries and University
- effective response to criticism and suggestions
- service to the Libraries, University or community
- professional growth and development, including involvement in professional organizations

Criterion A: Teaching

Typically, the activities in this criterion are assigned the largest percentage of the faculty member's annual workplan. Individual workplans for librarians and archivists vary considerably. For definition of work under this criterion, see *Personnel Document* 2.0.

Criterion B: Research or Creative Activity

For definition of work under this criterion, see *Personnel Document* 2.0.

The quality and significance of research and creative activities will be judged with respect to the individual faculty member's position and point in career, as well as the nature of the activity in question. Examples of research and creative activities include but are not limited to:

- publishing an article or chapter in a peer-reviewed journal or edited volume, or contributing an article or chapter by invitation
- serving as author or editor of a book or book chapter

- making a presentation that reflects scholarship or research at a peer-reviewed national, regional, or state conference, or making a presentation at such conferences by invitation
- presenting a poster at a national, regional, or state conference
- receiving grant funding in support of the Libraries mission and goals or to further one's expertise or performance
- moderating or participating in a panel discussion at a conference

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

For definition of work under this criterion, see *Personnel Document 2.0*. The significance, quality, and impact of specific accomplishments will be considered, as well as leadership, influence, and reputation at the state, regional, national, or international level. Beginning early in the pre-tenure period, faculty members are expected to contribute to some combination of:

- governance of the University Libraries
- work of University committees
- leadership, planning, and governance of state, regional, national, or international professional organizations

The quality and significance of service activities will be judged with respect to the individual faculty member's position and point in career, as well as the nature of the activity in question. Examples of service activities include but are not limited to:

- participating actively on library, campus, university, and faculty governance committees and bodies
- serving as an academic advisor, internship program director, or thesis/dissertation committee member
- participating actively in professional or scholarly organizations at the state, regional, national, or international levels
- holding a leadership position in a state, regional, national, or international professional organization
- organizing conferences and other meetings
- refereeing journal articles or book manuscripts
- editing or performing editorial duties for scholarly or professional publications
- serving on grant review panels or committees
- conducting a peer-sharing
- serving as a mentor in a formal capacity

DOCUMENT APPROVED BY THE UNIVERSITY LIBRARIES FACULTY, 20 FEBRUARY 2012.

Appendix I: Annual Review

See also Personnel Document, 2.02.

The results of annual reviews are independent from promotion and/or tenure reviews. Incentives may be given through annual reviews for work that requires both time and conscientious effort and that is essential to the governance of the Libraries faculty, consistent with the strategic plans of the university, or integral to the operation of professional organizations, but that may not reflect the kind of contributions expected for tenure. Early in the pre-tenure period the faculty member should develop a program that will demonstrate progress toward long-term goals, emphasizing quality over quantity. As part of the annual review for persons with promotions ahead of them, the Personnel Committee will highlight contributions that they believe would make worthy components of the promotion/tenure file as described in Appendix II. No decision or advice by one Personnel Committee for annual review should be considered binding on future Committees.

The criteria presented in this document should be interpreted within the framework of the peer review process. Benchmarks and lists serve as guides rather than prescriptions. They are not substitutes for judgment on the part of any reviewing body. Nor should they be viewed as a guarantee of promotion or tenure at a later date. The expectations for any particular faculty member will, in part, be determined by where he or she is in his or her professional career. In general, certain qualities and characteristics are associated with the stages of one's career (see Appendix II). Additionally, general factors are expected of all faculty members regardless of rank. These include, but are not limited to:

- effective communication skills
- professionalism, collegiality, dependability, adaptability
- independence and responsibility
- consistency of performance and accuracy
- initiative, creativity
- quality of decision making, judgment, influence, impact and leadership
- organizational skills, planning, supervision, management
- ability to relate job functions to the goals of the Libraries and University
- effective response to criticism and suggestions
- service to the Libraries, University and/or community
- professional growth and development, including involvement in professional organizations

~~For annual review, failure to accomplish activities specified in the annual work plan will be considered unsatisfactory performance.~~

Criterion A: Teaching

~~This criterion consists of the recurring and specialized activities performed by Libraries faculty. Librarianship and archival administration require the practitioner to be conversant with the goals, standards and conventions of the profession and to be able to interpret them within the specific institutional context.~~

Typically, the activities in this criterion are assigned the largest percentage of the faculty member's annual work plan. Individual work plans for librarians and archivists vary considerably. For definition of work under this criterion, see Personnel Document 2.0.

Criterion B: Research and/or Creative Activity

~~Research and creative activity should develop a faculty member's professional knowledge and skills in order to better meet their professional responsibilities. Such research and creative activity should inform the faculty member's work in the operations of the Libraries and vice versa. It may represent a scholarly approach to~~

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~~innovation, assessment, and evaluation of services, participation in scholarly discourse and reflection concerning the discipline, or scholarly work in a complementary discipline that informs or is informed by the librarian/archivist's provision of services. For definition of work under this criterion, see Personnel Document 2.0.~~

The quality and significance of research and creative activities will be judged with respect to the individual faculty member's position and point in career, as well as the nature of the activity in question. Examples of research and creative activities include but are not limited to:

- publishing an article or chapter in a peer-reviewed journal or edited volume, or contributing an article or chapter by invitation
- serving as author or editor of a book or book chapter
- making a presentation that reflects scholarship or research at a peer-reviewed national, regional, or state conference, or making a presentation at such conferences by invitation
- presenting a poster at a national, regional, or state conference
- ~~attending a competitive national institute or training program that furthers one's expertise or performance~~
- receiving grant funding in support of the Libraries mission and goals or to further one's expertise or performance
- moderating or participating in a panel discussion at a conference

Comment [EMS4]: Falls under Criterion A

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~~Criterion C: Service to the Profession, the Unit, the University, or the Community, and Profession~~
~~Significant service to professional organizations and committee service at the library, system, and/or university level is also expected. For definition of work under this criterion, see Personnel Document 2.0.~~ The significance, quality, and impact of specific accomplishments will be considered, as well as leadership, influence, and reputation at the state, regional, national, or international level. Beginning early in the pre-tenure period, faculty members are expected to contribute to some combination of:

- governance of the University Libraries
- work of University committees
- leadership, planning, and governance of state, regional, national, or international professional organizations

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The quality and significance of service activities will be judged with respect to the individual faculty member's position and point in career, as well as the nature of the activity in question. Examples of service activities include but are not limited to:

- participating actively on library, campus, university, and faculty governance committees and bodies
- serving as an academic advisor, internship program director, or thesis/dissertation committee member
- participating actively in professional or scholarly organizations at the state, regional, national, or international levels
- holding a leadership position in a state, regional, national, or international professional organization
- organizing conferences and other meetings
- refereeing journal articles or book manuscripts
- editing or performing editorial duties for scholarly or professional publications
- serving on grant review panels or committees
- ~~conducting a peer-sharing~~
- ~~serving as a mentor in a formal capacity~~

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- teaching a course outside the normal realm of the faculty member's position

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~~DOCUMENT APPROVED BY THE UNIVERSITY BOARD OF TRUSTEES, 12 NOVEMBER 2010.~~

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Appendix II: Promotion and Tenure Reviews

1. General Characteristics of Ranks

These characteristics serve as a general guideline to determine the appropriate level of performance for a given rank for purposes of initial appointment, annual review and promotion (see Appendix I and *Personnel Document*, Sec. 2).

A. Characteristics of Instructor

- Beginner, little experience
- Developing identity, role and specialization
- Demonstrates basic skills
- Works within unit on well-defined, short-term, supervised activity
- Contributes to planning and management within unit
- Participates, to limited degree, in larger organizational activities
- Exerts some influence and impact on larger organization
- Initiates activity in professional organizations and activities
- Establishing record of publication and presentation

B. Characteristics of Assistant Professor

- Some experience
- Shows growth and achievement in specialty
- Demonstrates broader skills
- Works with limited supervision within area of specialization doing complex, yet defined tasks
- Exerts greater influence and impact within unit and library
- Involved in university-wide committees or activities
- Contributes to professional organizations and activities
- Establishing record of publication and presentation

C. Characteristics of Associate Professor

- Experienced
- Competent specialist
- Demonstrates breadth and depth of skills
- Works with minimal supervision within area of specialization in unit and in library at large
- Plans and manages within unit and among units
- Exerts significant influence and impact within unit and parts of libraries at large
- Contributes to and leads in professional activities
- Established record of publication and presentation

D. Characteristics of Professor

- Broadly experienced

- Master specialist
- Demonstrates skills in many aspects of academic librarianship
- Works with minimal supervision in area of specialization within and beyond library
- Plans for and manages in area of responsibility
- Broad and sometimes final influence and impact
- Contributes to and leads in professional activities
- Continuing record of publication and presentation

2. Promotion to Assistant Professor

- A. For promotion from Instructor to Assistant Professor, the whole body of work for the time period under consideration will be assessed. See 2.3.A.2 for criteria for promotion in rank.
- B. Documentation of successful performance in the candidate's role in the operations of the Libraries will consist of annual evaluations and a summary letter, which encompasses Criteria A-C, from the supervisor. Candidates will be evaluated by the Personnel Committee. Each candidate will submit electronically :
 1. Signed and approved annual workplans for the period under review
 2. Current CV
 3. Information and documentation of any accomplishments since the last annual review or personnel action, including work in progress

3. Promotion to Associate Professor or Professor

- A. For promotion and/or tenure reviews, see Sec. 2.2 and 2.3 of the *Personnel Document*.
- B. Candidates will be evaluated by the Personnel Committee and by external peer reviewers. Beginning early in the pre-tenure period the faculty member should engage in activities that will demonstrate progress toward long-term goals, emphasizing quality over quantity. The promotion/tenure dossier will include the following items, submitted in electronic format:
 1. A statement by the candidate of no more than two single-spaced pages describing the goals, focus, strategies, and coherence of his/her body of work. This statement is intended to provide a context for review of the file, not an argument for promotion and/or tenure.
 2. Documentation for five to eight accomplishments upon which the candidate would like the evaluation to focus. These items should represent the candidate's best efforts and should have demonstrable impact on the profession. These items and their documentation will be submitted for blind external review. The quality of the other contributions documented on annual performance summaries will be considered, but quantity of contributions should not be expected to compensate for a lack of quality or impact. These activities will be a combination of research and scholarly activity and service involvement. They may also include exceptional initiatives relating directly to the candidate's role in the operation of the Libraries.
 3. It is the responsibility of the faculty member to provide compelling evidence for the quality and impact of specific activities submitted to represent his/her body of work. Documentation may include but should not be limited to:
 - a. copies of publications
 - b. editorial correspondence concerning the comments of peer reviewers and the author's response
 - c. articles citing a candidate's publication
 - d. speakers' notes and accompanying slides for presentations

- e. descriptions of the substance, impact, quality, and duration of a candidate's service
- f. annual reports of relevant organizations
- g. letters from others collaborating on and/or affected by an activity
- h. supervisor's documentation of exceptional performance
- i. citations accompanying awards or special recognition for service or initiatives
- j. results of focus groups or usability testing for library initiatives
- 4. Annual workplans and annual reviews for the period under review (as stipulated in *Personnel Document 2.2, 2.3*).
- 5. Current CV
- 6. Names and addresses of at least three potential external reviewers.
- C. In addition to the materials submitted by the candidate, the Personnel Committee will obtain:
 - 1. The supervisor's evaluation for promotion and/or tenure
 - 2. External reviewers' comments
 - 3. A summary and recommendation concerning the promotion/tenure dossier, written by the Personnel Committee.
- 4. External Review Procedures
 - A. Tenure reviews and promotions from Assistant Professor to Associate Professor and from Associate Professor to Professor require external review of research and creative activity. Expert, objective, external reviewers will be asked to evaluate the quality and impact of the contribution of the research and creativity of the candidate for promotion. External reviewers will be identified by the Personnel Committee based on area of expertise, rank, and, if appropriate, tenure status.
 - B. External reviewers shall:
 - 1. have a rank or position at the same level or higher than the position sought by the candidate and be in a relevant professional position outside the University of Louisville. The decision on whether a reviewer is at an appropriate rank or position is determined by the ULF Personnel Committee based on the candidate's job position and rank sought, and the reviewer's job position, rank, and institution.
 - 2. be neutral and may not be more than casual acquaintances of the candidate. Reviewers may have served on professional association committees with the candidate, but they must not have been professional collaborators (e.g., co-workers or co-authors on an article or grant).
 - 3. not offer a recommendation for tenure or promotion. Recommendations will not be considered if given. The opinions of the external reviewers will be given due consideration in the Personnel Committee's promotion procedure.
 - C. The candidate shall submit to the ULF Personnel Committee in electronic format:
 - 1. one copy of the candidate's CV
 - 2. one copy of the candidate's personal statement
 - 3. one copy of all materials to be reviewed.
 - D. The Personnel Committee shall:
 - 1. select and invite three reviewers. If any of those contacted are unable or unwilling to serve as reviewers, the Personnel Committee will submit more names and follow the process above until three reviewers have been found.
 - 2. send the following materials to the external reviewers:
 - a. a letter of instruction for the reviewer
 - b. a copy of the candidate's CV
 - c. the materials to be reviewed
 - 3. notify the candidate when all external reviews have been received. The candidate will have five working days to review and respond in writing to the letters. The copy of the external review letters shown to the candidate will have the reviewers' names and institutions redacted. This response will be included in the materials to be reviewed by the ULF Personnel Committee for consideration during the tenure or promotion process.

4. provide a written analysis of the validity and significance of the reviews received.

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Appendix II: Promotion and Tenure Reviews

1. General Characteristics of Ranks

These characteristics serve as a general guideline ~~in determining to determine~~ the appropriate level of performance for a given rank for purposes of ~~initial appointment, annual review and~~ ~~promotion and initial appointment~~ ~~promotion~~ (see Appendix 1 and Personnel Document, ~~Sec. 4.2.C2.9~~).

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A. Characteristics of Instructor

- Beginner, little experience
- Developing identity, role and specialization
- Demonstrates basic skills
- Works within unit on well-defined, short-term, supervised activity
- Contributes to planning and management within unit
- Participates, to limited degree, in larger organizational activities
- Exerts some influence and impact on larger organization
- ~~Initiates activity in professional organizations and activities~~
- ~~Establishing record of publication and presentation~~
- ~~Initiating activity in professional organizations and activities~~

Comment [EMS1]: Added to be better in line with proposed requirements for promotion and tenure.

B. Characteristics of Assistant Professor

- Some experience
- Shows growth and achievement in specialty
- Demonstrates broader skills
- Works with limited supervision within area of specialization doing complex, yet defined tasks
- Exerts greater influence and impact within unit and library
- Involved in university-wide committees or activities
- Contributes to professional organizations and activities
- Establishing record of publication and presentation

C. Characteristics of Associate Professor

- Experienced
- Competent specialist
- Demonstrates breadth and depth of skills
- Works with minimal supervision within area of specialization in unit and in library at large.
- Plans and manages within unit and among units
- Exerts significant influence and impact within unit and parts of ~~Libraries-libraries~~ at large
- Contributes to and leads in professional activities
- Established record of publication and presentation

D. Characteristics of Professor

- Broadly experienced
- ~~2~~

- Master specialist
- Demonstrates skills in many aspects of academic librarianship
- Works with minimal supervision in area of specialization within and beyond library
- Plans for and manages in area of responsibility
- Broad and sometimes final influence and impact
- Contributes to and leads in professional activities
- Continuing record of publication and presentation

2. Promotion to Assistant Professor

1. For promotion from Instructor to Assistant Professor, the whole body of work for the time period under consideration will be assessed. ~~See 2.3.A.2 for criteria for promotion in rank. This promotion is granted on the basis of proficient performance criterion A and in the faculty member's position and evidence of initiative and accomplishment in both Criteria B and C, research and service.~~
2. ~~Successful fulfillment of the candidate's annual workplans is mandatory but not sufficient.~~ Documentation of successful performance in the candidate's role in the operations of the Libraries will consist of annual evaluations and a summary letter, ~~which encompasses Criteria A-C, from the supervisor, from the program directors/supervisor which encompasses Criteria A-C.~~ The program director is asked to evaluate all aspects of the candidate's achievement.
3. Candidates will be evaluated by the Personnel Committee. Each candidate will submit ~~electronically~~ documents that include:
 1. ~~Current year's workplan and signed and approved~~ annual workplans for the period under review
 2. ~~Current CV in electronic form~~
 3. ~~Names and addresses of a minimum of three colleagues outside the University Libraries who are able to comment on the faculty members' achievement, particularly in areas which may not have been covered in annual reviews~~
 4. ~~Information and documentation of any accomplishments since the last annual review or personnel action, including work in progress~~

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Comment [EMS2]: Letters from external reviewers not required by Minimum Guidelines for promotion to Assistant Professor. Recommendation is to remove this requirement.

3. Promotion to Associate Professor or Professor

~~A. For promotion and/or tenure reviews, see Sec. 2.2 and 2.3 of the Personnel Document. the whole body of work for the time period under consideration will be assessed. Promotion to Associate Professor and/or tenure, and promotion to Professor is granted on the basis of sustained, significant contributions to the University Libraries, the University, the community, the state, or the nation and to the profession, and indications that those contributions will continue (see Personnel Document 2.3.7).~~

~~Successful fulfillment of the candidate's annual workplans is mandatory but not sufficient. Documentation of successful performance in the candidate's role in the operations of the Libraries will consist of annual evaluations and a summary letter from the program director. The program director is asked to evaluate all aspects of the candidate's achievement.~~

~~A robust record of research and creative activity that gives evidence of continuous effort and promise of continuing strong production is required. Contribution to the written scholarly record through publication is required. Significant service to professional organizations and committee service at the library, system, and/or university level is also required.~~

2. Candidates will be evaluated by the Personnel Committee and by a group of external peer reviewers. ~~The Libraries value individual differences and diverse contributions and each person's body of work will likely be different from other faculty members.~~ Beginning early in the pre-

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tenure period the faculty member should develop a program/engage in activities that will demonstrate progress toward long-term goals, emphasizing quality over quantity.

The promotion/tenure dossier will include the following items, submitted in electronic format:

1. A statement by the candidate of no more than two single-spaced pages describing the goals, focus, strategies, and coherence of his/her body of work. This statement is intended to provide a context for review of the file, not an argument for promotion and/or tenure.
2. Documentation concerning five to eight accomplishments upon which the candidate would like the evaluation to focus. These items should represent the candidate's best efforts and should have demonstrable impact on the profession. These items and their documentation will be submitted for blind peer-external review. The quality of the other contributions documented on annual performance summaries will be considered, but quantity of contributions should not be expected to compensate for a lack of quality or impact. These activities will be a combination of research and scholarly activity and service involvement. They may also include exceptional initiatives relating directly to the candidate's role in the operation of the Libraries.
3. It is the responsibility of the faculty member to provide compelling evidence for the quality and impact of specific activities submitted to represent his/her body of work. Documentation may include but should not be limited to:
 - a. copies of publications
 - b. editorial correspondence concerning the comments of peer reviewers and the author's response
 - c. articles citing a candidate's publication
 - d. speakers' notes and accompanying slides for presentations
 - ~~e. syllabi, teaching materials, and class evaluations~~
 - ~~f. c. _____ descriptions of the substance, impact, quality, and duration of a candidate's service~~
 - ~~g. f. _____ annual reports of relevant organizations~~
 - ~~h. g. _____ letters from others collaborating on and/or affected by an activity~~
 - ~~i. h. _____ program director's/supervisor's documentation of exceptional performance~~
 - ~~j. i. _____ citations accompanying awards or special recognition for service or initiatives~~
 - ~~k. j. _____ results of focus groups or usability testing for library initiatives~~
 - ~~l. k. _____ citations accompanying awards or special recognition for service or initiatives~~
4. Annual workplans and annual reviews for the period under review (as stipulated in Personnel Document 2.2, 2.32, 3.8.D).
5. Current CV in electronic form.
6. Names and addresses of at least three potential external reviewers.

C. In addition to the materials submitted by the candidate, the Personnel Committee will obtain:

3. 1. The supervisor's evaluation for promotion and/or tenure

4. 2. External reviewers' comments

6. 3. A summary and recommendation concerning the promotion/tenure dossier, written by the Personnel Committee, three colleagues outside of the candidate's unit from whom the Personnel Committee will solicit letters of recommendation, with a brief explanation of why each would be appropriate.

7. Information and documentation of any accomplishments since the last annual review or personnel action, including work in progress.

In addition to the materials submitted by the candidate, the Personnel Committee will obtain:

a. The program director's evaluation for promotion and/or tenure

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- ~~b. A minimum of three letters of reference from colleagues outside of the candidate's unit~~
- ~~e. External reviewers' comments in the cases of tenure reviews, promotions from Assistant Professor to Associate Professor, and from Associate Professor to Professor~~
- ~~d. A summary and recommendation concerning the promotion/tenure dossier, written by the Personnel Committee~~

4. External Review Procedures

A. Tenure reviews and promotions from Assistant Professor to Associate Professor and from Associate Professor to Professor require external review of research and creative activity. Expert, objective, external reviewers will be asked to evaluate the quality and impact of the contribution of the research and creativity of the candidate for promotion. External reviewers will be identified by the Personnel Committee based on area of expertise, rank, and, if appropriate, tenure status.

B. ~~External r~~Reviewers shall:

1. have a rank or position at the same level or higher than the position sought by the candidate and be in a relevant professional position outside the University of Louisville. The decision on whether a reviewer is at an appropriate rank or position is determined by the ULF Personnel Committee based on the candidate's job position and rank sought, and the reviewer's job position, rank, and institution.
2. be neutral and may not be more than casual acquaintances of the candidate. Reviewers may have served on professional association committees with the candidate, but they must not have been professional collaborators (e.g., co-workers or co-authors on an article or grant).
3. ~~Not offer a recommendation for tenure or promotion. Recommendations will not be considered if given. The opinions of the external reviewers will be given due consideration in the Personnel Committee's promotion procedure.~~

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C. Procedures:

~~1. C.~~ The candidate shall ~~will~~

1. ~~1.~~ submit to the ULF Personnel Committee ~~in electronic format~~:
 - a. ~~One~~ copy of the candidate's CV ~~in electronic form~~
 - b. ~~one copy of the candidate's personal statement~~
 - b. ~~One~~ copy of ~~each item~~ ~~all materials~~ -to be reviewed. ~~Materials to be submitted may include but are not limited to:~~
 1. ~~scholarly publications~~
 2. ~~reviews~~
 3. ~~notes/slides from presentations~~
 4. ~~grant proposals~~
 5. ~~reports (professional committee, projects)~~
 6. ~~computer programs (with appropriate text).~~

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~~2. D.~~ The ULF Personnel Committee shall:

1. ~~Chair will S~~elect and invite three reviewers. If any of those contacted are unable or unwilling to serve as reviewers, the ULF Personnel Committee will submit more names and follow the process above until three reviewers have been found.
2. Send the following materials to the external reviewers
 - a. ~~a letter of instruction for the reviewer~~
 - b. ~~a copy of the candidate's CV~~
 - c. ~~the materials to be reviewed~~
- ~~4.3. Notify the candidate~~ ~~when all external reviews have been received. The candidate will have five working days in which to request to see the reviews to review and respond in~~

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~~writing to the letters. The copy of the external review letters shown to the candidate will have the reviewers' names and institutions redacted for confidentiality. The candidate will have another five working days in which to submit a written response to the ULF Personnel Committee. This response will be included in the materials to be reviewed by the ULF Personnel Committee for consideration during the tenure or promotion process.~~

~~4. provide a written analysis of the validity and significance of the reviews received.~~

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3. Reviewers who have been selected and agree to serve will receive the following materials from the ULF Personnel Committee:

- A. a letter of instruction for the reviewer;
- B. a copy of the candidate's résumé;
- C. and the material to be reviewed.

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4. External reviewers will not be asked for a recommendation for tenure or promotion, nor will their recommendations be considered if given. Their opinions of the material will be given due consideration in the ULF Personnel Committee's promotion procedure.

~~5. The candidate will be notified when all external reviews have been received. The candidate will have five working days in which to request to see the reviews. The copy of the external review letters shown to the candidate will have the reviewers' names and institutions redacted for confidentiality. The candidate will have another five working days in which to submit a written response to the ULF Personnel Committee. This response will be included in the materials to be reviewed by the ULF Personnel Committee for consideration during the tenure or promotion process.~~

~~6. The ULF Personnel Committee will provide a written analysis of the validity and significance of the reviews received.~~

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DOCUMENT APPROVED BY THE UNIVERSITY BOARD OF TRUSTEES 12 NOVEMBER 2010.

RECOMMENDATION TO BOARD OF TRUSTEES

June 28, 2012 (Personnel Committee)

June 28, 2012 (Board of Trustees)

The President recommends:

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

ADMINISTRATION

Dwight D. Dozier, B.A.; promotion from Assistant Vice President to Associate Vice President for Advancement Services, July 1, 2012. The appointment as Associate Vice President is at the pleasure of the Board of Trustees.

Jennifer Leigh Heisey, M.Ed., Wright State University; Associate Vice President, Alumni Services, July 9, 2012. The appointment as Associate Vice President is at the pleasure of the Board of Trustees.

COLLEGE OF ARTS AND SCIENCES

Carolyn Rae Miller, Ph.D., Rensselaer Polytechnic Institute; Thomas R. Watson Visiting Distinguished Professor of Rhetoric and Composition, August 1, 2013 through December 31, 2013.

Mary P. Sheridan, Ph.D., University of Illinois, Urbana-Champaign; Professor of English, with tenure, August 1, 2012.

Richard J. Wittebort, Ph.D., Professor of Chemistry; change of additional appointment from Acting Chair to Chair of Chemistry, July 1, 2012. The appointment as Chair is at the pleasure of the Board of Trustees.

Stephen P. Yanoviak, Ph.D., University of Oklahoma; Assistant Professor of Biology (Probationary), and Tom Wallace Endowed Chair for Conservation, August 1, 2012.

COLLEGE OF BUSINESS

Richard N. Germain, Ph.D., Professor of Marketing and Challenge for Excellence Chair in Supply Chain Management; additional appointment as Chair, Department of Marketing, July 1, 2012. The additional appointment as Chair of Marketing is at the pleasure of the Board of Trustees.

COLLEGE OF EDUCATION AND HUMAN DEVELOPMENT

Timothy J. Landrum, Ph.D., Associate Professor, Department of Special Education; additional appointment as Chair, Department of Special Education, July 1, 2012. The appointment as Chair is at the pleasure of the Board of Trustees.

SCHOOL OF MEDICINE

Thomas L. Abell, M.D., University of South Dakota; Professor of Medicine (Division of Gastroenterology), with tenure, and additional appointment as the Arthur M. Schoen, M.D., Chair in Gastroenterology in memory of his wife, Elizabeth Clark Gentry Schoen, and Anna Lee Gentry Brown, August 1, 2012.

Russell A. Prough, Ph.D., Professor of Biochemistry and Molecular Biology and Preston Pope Joyes Endowed Chair of Biochemistry; change of additional appointment from Vice Dean for Research, School of Medicine, to Associate Vice President for Health Affairs/Research, July 1, 2012. The appointment as Associate Vice President is at the pleasure of the Board of Trustees.

SCHOOL OF NURSING

S. Lee Ridner, Ph.D., Associate Professor of Nursing; change of additional appointment from Acting Associate Dean to Associate Dean of Graduate Programs, July 1, 2012. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

Committee Action:

Passed: X
Did not Pass:
Other:
Date:

Board Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Katalin M. Smith
Assistant Secretary

Approved by:

Katalin M. Smith
Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING APPOINTMENT TO THE QUALITY & CHARITY CARE
TRUST (QCCT) BOARD OF DIRECTORS**

Personnel Committee – June 28, 2012
Board of Trustees – June 28, 2012

RECOMMENDATION:

The Chair recommends the following appointment to the Quality and Charity Care Trust (QCCT) Board of Directors for 2011-12:

Audrey Tayse Haynes (to replace Janie Miller, State Representative)

Committee Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Katalin M. Smith
Assistant Secretary

Board Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Katalin M. Smith
Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
BACHELOR OF ARTS DEGREE IN
LATIN AMERICAN AND LATINO STUDIES**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Bachelor of Arts in Latin American and Latino Studies (LALS).

Committee Action:

Passed: X
Did not Pass:
Other:
Date:

Board Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Katalin M. Smith
Assistant Secretary

Approved by:

Katalin M. Smith
Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
GRADUATE CERTIFICATE IN AUTISM AND APPLIED BEHAVIOR ANALYSIS**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of a graduate certificate in Autism and Applied Behavior Analysis (AABS).

Committee Action:

Passed: X

Did not Pass:

Other:

Date:

Board Action:

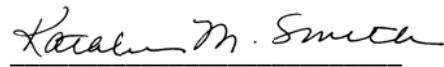
Passed: X

Did not Pass:

Other:

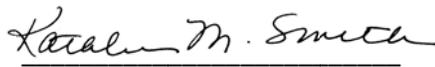
Date:

Approved by:



Assistant Secretary

Approved by:



Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
POST-PROFESSIONAL CERTIFICATE IN PROSTHDONTICS**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of a post-professional certificate in Prosthodontics.

Committee Action:

Passed: X
Did not Pass:
Other:
Date:

Board Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Katalin M. Smith
Assistant Secretary

Approved by:

Katalin M. Smith
Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
FOR THE APPROVAL OF THE
MASTER OF SCIENCE IN DENTISTRY WITH SPECIALTIES IN ENDODONTICS,
ORTHODONTICS, PEDIATRIC DENTISTRY, PERIODONTICS AND
PROSTHODONTICS**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the Master of Science in Dentistry with concentrations in the specialty areas of Endodontics, Orthodontics, Pediatric Dentistry, Periodontics and Prosthodontics, effective July 1, 2012.

Committee Action:

Passed: X
Did not Pass:
Other:
Date:

Board Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Katalin M. Smith
Assistant Secretary

Approved by:

Katalin M. Smith
Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING AMENDMENT TO LEASE**

**Finance Committee – June 28, 2012
Board of Trustees – June 28, 2012**

RECOMMENDATION:

That the Board of Trustees authorizes the President or his designee to modify the existing Lease Agreement for the property located at 315 E Broadway (Norton Medical Pavilion) to permit a sublease, at fair market value, to a developer for the purpose of constructing a medical office building, with such restrictions on use that are consistent with the needs of the Health Sciences Campus.

Committee Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Kathleen M. Smith
Assistant Secretary

Board Action:

Passed: X
Did not Pass:
Other:
Date:

Approved by:

Kathleen M. Smith
Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING AN INCREASE TO VARIOUS FEES

Finance Committee – June 28, 2012
Board of Trustees – June 28, 2012

RECOMMENDATION:

The President recommends that the Board of Trustees approve increases to existing student fees listed below.

➤ **School of Nursing**

- Increase instructional course fee by \$20 to \$140 for N338 Lifespan Pathophysiology
- Increase instructional course fee by \$20 to \$110 for N395 Nursing Pharmacotherapeutics

➤ **School of Dentistry**

- Increase Dental Application Fee by \$15 to \$65 per applicant

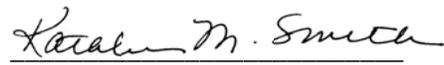
Committee Action:

Passed: X
Did not Pass: _____
Other: _____
Date: _____

Board Action:

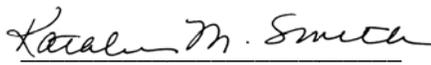
Passed: X
Did not Pass: _____
Other: _____
Date: _____

Approved by:



Assistant Secretary

Approved by:



Assistant Secretary

**RECOMMENDATION TO THE BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE
CONCERNING CAPITAL CONSTRUCTION PROJECTS**

Finance Committee – June 28, 2012
Board of Trustees – June 28, 2012

RECOMMENDATION:

The President recommends that the following projects be approved:

PROJECT:	ESTIMATED COSTS:	FUND SOURCE:
HSC Utilities Hazard Mitigation Project	\$1,100,000	\$825,000 Federal Grant \$275,000 General Funds
Storm Damaged Roof Projects:		
Law School	\$995,000	Insurance Proceeds
Grawemeyer Hall	\$551,000	Insurance Proceeds
JB Speed School	\$558,000	Insurance Proceeds
Gardiner Hall	\$259,000	Insurance Proceeds
Louisville Hall	\$369,000	Insurance Proceeds
University Towers	\$294,000	Insurance Proceeds

Committee Action:

Passed: X

Did not Pass:

Other:

Date:

Board Action:

Passed: X

Did not Pass:

Other:

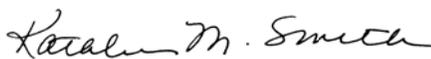
Date:

Approved by:



Assistant Secretary

Approved by:



Assistant Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING CANDIDATES FOR DEGREES AND CERTIFICATES
IN AUGUST

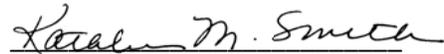
Board of Trustees – June 28, 2012

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the Candidates for Degrees and Certificates to be conferred by the University of Louisville on August 7, 2012, and that the Board authorize the Executive Vice President and Provost to approve the awarding of degrees to others who have been certified by the unit faculties as having completed the appropriate courses of study, but missed the deadline for Board action.

Approved by:



Asst. Secretary

GRADUATES AND CANDIDATES – AUGUST, 2012

College of Arts and Sciences

Doctor of Philosophy

Eisenmenger, Karen Melisa
O'Bryan, Amanda Frances
Sharma, Ghanashyam
Shi, Xue
Su, Lezhou
Tandy, Paul S.
Wade, Julie Marie
Wang, Zhenping

Master of Arts

Allen, Jaclyn Dale
Armstrong, Trena Easley
Ferguson, Patrice Renee
Griffith, Casey N
Gwinn, Allen Fort
Martini Paula, Rodrigo
Slavin, Solveig Espe
Swanner, Justin M
Toledo Rodriguez, Pedro Luis
Wilson, Lori J

Bachelor of Arts

Adler, Elliott John
Almanza Moreno, Cristina Denise
Alvey, Allison Elizabeth
Arroyo, Shawn Michael
Bahojb-Nouri, Leyla Victoria
Ball, Stephon Anthony
Banda, Douglas Mitchell
Banine, Kassandra Celeste
Boyd, Chayla D
Brooks, Donna Lynn
Brown, Daniel L
Bryan, Carli Gabrielle
Carter, Alexander Dane
Collopy, Chelsea Rae
Derringer, Kayla Leeanne
Devore, Tristan Elizabeth
Ellison, William Raiford

Fowler, Stephanie Nicole
Gundumalla, Leena Raagaleena
Haack, Chelsea Marie
Hall, Steven Michael
Harbolt, Jessica R
Hesler, Kelly E
Heyman, Dexter Emmanuel
Hibbs, Lori Rae
Holland, Kristen Lynn
Jones, Adrienne Kristina
Jones, Eric Joseph
Jortani, Amirmassoud Andalib
Kaiser JR, Steve Louis
King, Darrell Wayne
Lacey, Kyra
Leamy, Dianna Marie
Lewis, Whitney Renee
Littlejohn, Tessa Michelle
Lukat, Brandon Charles
Lusignolo, Becca
Maier, Kimberly M
McDaniel, Kimberly Gail
McIntyre, Esther Dot
McMillen, Cody Ryan
Meyers, Sarah Elizabeth
Mishchenko, Tatyana
Murray, Justin Christopher
Nolan, Ellise Suzanne
Nordling, Emily Nichole
O'Flaherty, Joshua Nathaniel
Oldham, Crystal Janae
Padron, David A
Peterson, Jessica Lynne
Pike, Kristine M
Price, Ricky N
Revlett, Stormy
Rigor, Jasmine Kelley
Sacra II, Ricky Dean
Sailor, Olivia Brooks
Schneider, Elizabeth E
Shannon, Michael Daniel
Sherman, Kimberly Rachel

Short, Taylor D
Sloan, Shelby Dakota
Smart, Amanda Marie
Smithkier, Gregory Simmons
Sparks, Andrew Colby
Taylor, Zachary Alexander
Thornberry, Kayla Beth
Thornton, Katherine Elyse
Todd, Bridgette Rene
Tucker, Joshua M
Van Broekhuizen, Cassandra Lynne
Vibbert, Meredith Hope
Wachtel, Maci R
Walker, Jeremy Ryan
Weemer, Ryan
Wilkinson, Hannah Carol
Wright, Elyse M
Wright, Heather Marie
Yarbrough, Herbert Na
Young, Nathaniel Drew

Associate in Arts

Beglau, Jennifer Renee
Jones, Alysha Ann
McDonald, Amanda Jean
Reed, Daniel Patrick
Rupert, Jessica A
Smith, James Gordon
Trabue, Christopher Bruce

Bachelor of Science

Allen, Chelsea Brooke
Bell, Donald Elliott
Cahill, Brandyn Scott
Cecil, Johnny Raymond
Coleman, Russell Lee
Conner, Anthony Terrell
Crush, Rebecca Shea
Cureton, Rolando L
Dolle III, Charles Alvin
Doyle, Aaron C
Duncan, Gabrielle Cady
Hale, Joseph M
Hall, Robert D
Haygood, Ivan O
Herald JR, Doylis Carl
Hibbs, Lori Rae
Higgins, Crystal G.
High, Timothy G
Ivonye, Kelachukwu

Jenkins, Kasey M
Mastrocola, Joseph Robert
McBride, Jared Wayne
McDonald, Amanda Jean
Miller, Anthony Phillip
Moore, Ashley Michel
Mott, Erin Leigh
O'Flaherty, Joshua Nathaniel
Pike, Kramer A
Priel, Christopher Ryan
Ray, Sara Elizabeth
Reed, Daniel Patrick
Rhoades, Emily Jordan
Ritter, Joshua Ray
Rupert, Jessica A
Taylor, Zachary Alexander
Todd, Corey Harold
Trabue, Christopher Bruce
Wallace, Jessica Cherell
Williams, Sara Nicole
Winter, Elliott Abraham

Certificate in Public History
Oladipo, Jennifer O

Master of Science

Anderson, Paul Wallace
Arleth, Bradley Gene
Artingstall, Thomas Michael
Bao, Lanlan
Doyle, Lisa Gaye
Knipp, Ralph J
Laulhe, Sebastien
Mattingly, Stephanie Jacobs
Meyer, Clifford Earl
Shi, Pan
Shi, Xue
Yang, Ye

College of Business

Master of Business Administration

Adamovsky, Stefan
Agostinho, Miguel Honorio
Bumann, Robert Raymond
Butler, Alexandra Ronald
Daeuber, Katrin Hedwig
Diebold, Ellen
Gant, Eric William
Gondzur, Nicholas Kane

Gray, Steven Douglass
Haddox, Charles David
Hauer, William
Heil, Sarah M
Hill, Jonvieve Devoy
Hoelter, Robert
Holtkamp, Patrick
Honaker IV, Thomas Graham
Jacobs, Seth Englander
Jantz, Cora
Jordahl, Wade
Kambi, Sunil
King, Ashley Jaye
Kleban, Fay E
Koehler, Christian Martin
Kupersmith, Andrew Louis Forrest
Lamparter, Klaus
Marinucci, Marco
McVeigh, Brooke K
Mekhedova, Marina Vladimirovna
Morath, Matthias Martin
Mueller, Mirko
Oezen, Seyit Atif
Oliver, Samuel H
Pfeiffer, Daniel
Potts, Kelly E
Rawley, William D
Reingruber, Isabel
Reinhardt, Holger
Safiullin, Sergei
Sanders, Andrea
Scarpellini, Jason A
Schmied, John M
Scordo, Katherine
Searcy, Kristin Lynn
Seez, Hans-Hermann
Sherwood, Elizabeth
Short, Savannah J
Steinmetz, Christian
Teplov, Dmitriy
Triffitt, Simon James
Urschel, Casey Alan
Walker, David Melvin
Welch, Edward C
Wells, Devin Franklin
Wells, Rachael Renee
White, Reta
Wrobel, Manuel
Zachry, Ryan

Master of Accountancy
Bottoms, Nicole Ann
Crider, Katrina Leigh
Heaven, Mikhail
Hill, Jason Keith Shunnarah
Palsha, Patrick J
Scates, Nicole A

Bachelor of Science in Business
Administration
Allender, Brandon Douglas
Alradwan, Mousa Jaffar
Andes, Sarah Elizabeth
Baker, Robert Alexander
Basham, Leah Nicole
Bleser, Joshua Kevin
Boyle JR, Robert M
Collins, Brandon Andrew
Colliver, Michael Patrick
Columbia, Mary B
Deckard, Joel P
Distler, Taylor Allen
Feger, Joshua Edward
Gonzalez, Kailey Marie
Halonon, Jessica Rose
Hazle, Edward O
Hogan, Brian William
Hornbeck, Theresa Marie
Kleier, James K
Ladig, Andrew Duvall
Manyok, William Maciek
Mather, Michael Todd
McCrary, Taryn Elyse
McGaughey, Christopher Patrick
Milliner, Patrick Corey
Moberly, Kyle Michael
Ohnheiser, Dacia
Orman, Clayton D
Parvanov, George Konstantinov
Peak, Andrew M
Pellman, John L
Plazas Bocanegra, Andres Fernando
Shannon, Spencer Lee
Shelton, Ronesha Jackee
Starosciak, Andrew
Taylor, Zachary Alexander
Thompson, Evonne Lynn
Thompson, Kelli Diane
Weatherholt, Zachary Scott
Withers, Danielle D.

Bachelor of Science in Business Economics

Bhupalam,Nitin Chandra

Hagan,Dennis Allen

Parvanov,George Konstantinov

Williams,John Alan

Bachelor of Arts

Todd,Corey Harold

School of Dentistry

Master of Science

Choi,Robin

McCullum,Heather Renae

Scott,Jacob Brandon

Szechy,Lauren Christine

Trisler,Justin Matthew

College of Education and Human

Development

Doctor of Philosophy

DeLaney,Nancy Barrett

Keizer,Benjamin Michael

Lanham,John Lawless

Lee,Donna Brostek

Lee,Jonathan S

Lindsey,Leigh Keeton

Partin,Kathren Teresa

Pike,Mary Ellen

Sapienza,Philip Kiersten

Taylor,Angela Susanne

Tong,Sze Sze

Townsel,Norman Lawrence

Specialist in Education

Agne,Timothy Michael

Harris,Angela Marie

Master of Arts

Burton,Jared Lance

Drury,Tiffany Nicole

Haas,Holly Michelle

Inge,Brittany Anne

Rockey,Katie Marie

Sarver,Jessica Rae

West,Meagan Renee

Master of Education

Elkus,Emily A

Franklin,Tanesha Laqueta

Gillespie,James Smith

Goldstein,Jason Ross

Jacobs,Bethany Hope

Jeppsen,Benjamin D

Moore,Jonathan T

Rossman,Helen Kinton

Suarez-Hernandez,Juan

Thai,Jennifer Lee

Turner,Hayley Elizabeth

Wrubel,Amanda M

Master of Arts in Teaching

Ackerly,Nathan Eli Tomas

Angel,Mayra Janet

Barbian,Natalie Diane

Berent,Michelle Caitlin

Bowden,Elizabeth Burress

Bowles,Brian Patrick

Center,Kathleen Keera

Craft,Justin Roderrick

Cravens,Melody Jane

Dean,Brigitte-Anne

Dill,Stuart Johnston

Docter,John Patrick

Dohoney,Daphne Renee

Gallo,Laura Schott

Hall,Stacy Lee

Heitzman,Sarah Elizabeth

Hickey,Rebecca Elizabeth

Hume,Mary Kathryn

Keown,Rebecca Shannonhouse

Lanier,Anissa Elliott

Lewis,Anna Kristin

Lichvar,Michael James

Lichvar,Michael James

Manuel,Ashley Leigh

Mason,Dewayne Mandielle

Miller,Anne Marie

Miller,Cathleen Marie

Mundt,Erica Christine

Neubauer,Luke William

Olenick,Mallory Jeanne

Olsen,Kyle

Ortega,Lisa

Regan,Amie Lynn

Salipur,Maja

Schmidt,Erin Michelle

Shircliff,Justin Paul

Snawder,Ashley Brooks

Staffieri,Anne Michele

Tucker, Mollie Scott
Tydlacka, Kara Elizabeth

Bachelor of Science
Anthony, Hannah Katharine
Baker, Steven Noel
Barnett, Nancy Kendall
Bing, Nicholas C
Boone, Jason Scott
Burkhead, Corey Ryan
Conway, Kent William
Crawford, Joshua Blain
Davis, Steven James
Dixon, Brittany
Douglas, Kayla R
Dumas, Heather Lynn
Favour, Kellie Denise
French, Andrew J
Googe, Michael Gordon
Gupta, Sumit Prakash
Haynes, Aaron Bradley
Heng, Gary
Hesler, Neal Christopher
Hile, Christopher D
Jackson, Lucas Wiley
Karrer, Brandy Renee
Keibler, Michael Scott
Kennedy, Russell Scott
Kirchner, Derek B
Linker, Donna Renee
Lyons, Sherree Michelle
Moore, Kaitlyn Brittany
Oldham JR, James Bruce
Pace, Preston Franklin
Reid, Eric W
Rollins, Tarik K
Roman, Mariana
Sheets, Christine Marie
Shelton, Judy Lynn
Starkel, Brandon L
Towery, Jordan L
Turi, Abigail Lauren
Volpert, Jeffrey Wayne
Warfield, Andre' Lamont
Whitfield, Lauren Ashley
Wiggins, Nicholas James
Wilhite, Karen Patrice
Wilkins, Dean Roy
Young JR, Darryl J

Bachelor of Science in Early Elementary
Education
Ware, Bethany Ann
Yoshida (Kirk), Jun (Jamie)

Master of Science
Chung, Jay Min
Krauss, Elizabeth Lauren
Macovei, Ana Maria
Psutka, Christopher Alan
Robbins, Jessica Lynn
Stroud, Michael Carney
Tilton, Carrie Beth
Williams, Amelia Marie
Williams, Jason T.
Woodrum, Kaleena Ann

School of Public Health and Information
Sciences

Doctor of Philosophy
Hood, Sula M

Master of Science
Luo, Dianhong
Shetty, Vikranth

Master of Science in Epidemiology
McGeeney, Teresa Jane
Myatt, Katie Frazee
Navale, Suparna Madhu

Master of Science
Garrod, Krista Nicole
Hussain, Lala-Rukh

Raymond A. Kent School of Social Work

Doctor of Philosophy
Murphy, April Lynn

Master of Science in Social Work
Barch, Sarah Alison
Bray, Ashley Brook
Carter, Cynae Rashel
Cates, Christian McClain
Emington, Erin Kelly
Ferguson, Richard Arvin
Hollis, Kendra Elise
Iliff Jr., Robert Russell
Smith, Emily Michele

Tyler,Ayana
Vega,Adelaida
Warren,Heather Marie
Winham,Katherine Mae Efstraction

Bachelor of Social Work
Mahlon,Tamiera Shea

School of Medicine

Doctor of Philosophy
Brooks,Alan Clark
Caudle,Krista Layne
Ji,Rui
McIntosh,Megan Lavonne
Soni,Chirag V

Master of Science
Adams,Travis M
Baldauf,Keegan J
Fioret,Daniel Ross
Lasnik,Amanda Beth
Linares,Christian Alexander
Mattmiller,Andrew August
O'Connor,Ryan Patrick
Pile,Johnna Michelle
Stoner,Elizabeth Kristen
Weller,Clayton Tarrant

School of Music

Bachelor of Music Education
Bailey,Karli Danielle

School of Nursing

Bachelor of Science in Nursing
Baron,Rochelle Malika
Beach,Kristal Michelle
Burton,Jennifer Kirsten
Caculba,Ralph Jamesolanim
Calvert,Jennifer Lynn
Calvert,Thomas
Clements,Christina Rose
Crenshaw,Jeri Latrice
Fahey,Erin Elizabeth
Fleischaker,Stuart Douglas
Giorgis,Anne Marie
Hostetler,Hannah E
Hughes,Rachel Michelle

Kenney,Lisa Marie
Lafollette,Michelle Kay
Loranger,Raymond James
Main,Sara Katherine
Manier,Kellie Jon
McFall,Gregory Lucas
Nunn,Amy
Perkins,Cassandra J
Price,Amy Elizabeth
Roeser,Jennifer Rebecca
Schmitz,Kathleen Marie
Shireman,Lauren Michelle
Speedy,Carrie Ann
Spencer,Kerry L
Stayton,Emily Lauren
Stich,Sara Elizabeth
Tanner,Jennifer Eileen
Whipple,Rachel Carolyn
Whitt,Whitney Elizabeth
Worthington,Joshua Shane

J. B. Speed School of Engineering

Master of Engineering with specialization in
field of Bioengineering
Anderson,Mark William
Bajaj,Nihit
Hamilton,Mary Abigail
Hoblitzell,Patrick J
Khosravi,Farhad
King,Benjamin Charles
Muench,E David
Owens,Kirsten Lee
Schworer,Adam T
Wooley,Chase Barrett
Young,Caitlin Bowen

Master of Engineering with specialization in
the field of Chemical Engineering
Hanley,Alan Michael
Phillips,Christine Elizabeth

Master of Engineering with specialization in
the field of Civil Engineering
Balz,Nicholas R
Fletcher,Trey Landon
Holthaus,Matthew Daniel
Judd,Nicolas Aaron
Nusbaum,Daniel Igantius
Stemley,Jessica J
Zinninger,Ben J

Master of Engineering with specialization in
the field of Computer Engineering and
Computer Science

Block, Bryan Patton
Coleman, Christopher A
Hiner, Chad A
Kaffenberger, Justin
Patel, Shamir Satish Kumar
Rouse, Blake Todd
Smith, Neil A
Underwood, Kyle A

Master of Engineering with specialization in
the field of Electrical Engineering

Blakely, Scott Ryan
Kurtz, Kevin Chadwyn
Martin, Tyler D
Rinehart, Sean M
Schoen, Michael Kevin

Master of Engineering with specialization in
the field of Engineering Management

Johnson, Erin Briggs

Master of Engineering with specialization in
the field of Industrial Engineering

Elliott, Natalie M
Johnson, Andrew G
Kello, Jennifer Lynn
Pittenger, Wallace Sumter

Master of Engineering with specialization in
the field of Mechanical Engineering

Dodge, Forrest Scott
Hahn, Matthew R
Haskins, Jarrod Daniel
Heil, Jordan D
Maled, Patrick T
Simpson, John M
Thomas, David K
Thomason, Cole L
Trenkamp, Justin Todd
Wimsatt, Christopher Nicholas
Work, Andrew Hardesty
Zwanzig, Stephen David

Doctor of Philosophy

Emara, Wael Ali
Khodarahmi Qahnavieh, Iman
Mattingly, William Alan

Mohammad, Fahim
Negahdar, Mohammadreza
Wang, Ni
Wenerstrom, Brent K

Certificate in Environmental Engineering

Haskins, Jarrod Daniel
Holthaus, Matthew Daniel
Thomas, David K

Bachelor of Science in Bioengineering

Christian, Marci Nicole
Goderwis, Joshua
Goderwis, Nathan James

Bachelor of Science in Chemical Engineering

Absher, Jason Matthew
Duda, Daniel Joshua
Geiger, Kelly Michele
Kroeger, Patrick Douglas
Libby, Karen Elizabeth
Meurer, Chris M
Roark, Adam P
Waller, Logan S

Bachelor of Science in Civil Engineering

Afable, Juan Emmanuel
Bailey, Chad Andrew
Bentley, Joseph Keith
Brown, Amanda Leigh
Gunselman, Nicholas W
Hines, Matthew Tyler
Judd, Nicolas Aaron
Peake JR, Alan
Satek, Ryan A

Bachelor of Science in Computer
Engineering and Computer Science

Bates, Christopher Robert
Blair, Chase Allen
Brown, Michael William
Cambon, Joel L
Curry, Sarah R
Fletcher, Adrian A
Heine, Conor M
Heisler, Cristina Gail
Kiefer, Martin A
Murphy, James
Oursler, Justin Neel
Pereira, Ashwin J
Sleiman, Matthew David

Urda, Peter N

Bachelor of Science in Electrical Engineering

Caproon, Sean Michael

Carius, Chad Tyler

Edwards, Lonna D

McClellan, Madison C

Morris, Shaun P

Russo, Zachary John

Wohner, David

Woodham JR, Richard

Kello, Jennifer Lynn

Marsili, Frank

Mays, Amanda Marie

Patel, Amit A

Shaban, Dania N

Stewart, Lauren P.

Williams, Torrence L

Bachelor of Science in Mechanical
Engineering

Arey, Kyle Steven

Csernik, Mark O

Dutcher, Matthew Arek

Dyrdek, Elizabeth J

Essex, Jordan B

Finlay, Adam Joel

Flerlage, Ronald Andrew

Haskins, Jarrod Daniel

Herrera, Sashamarie

Kenney, Alexander P

Krouse, Emilie R

Lao Segismund, Ana Carolina

Layman, Jonathan William

Moen, Matthew Ryan

Newman, Nicholas A

Oneil, Brian Patrick

Rudy, Benjamin David

Singer, Alex Timothy

Walters, Anthony Julian

Weil, Joshua Alan

Certificate in Network and Information
Security

Luken, Brandon Patrick

Master of Science

Kolli, Sowmya

Moss, Kyle Thomas

Pandit, Anala Aniruddha

Perkins, Thomas Lee

Srinivasan, Sudha

Zomorrodian, Mohammad Amin

RECOMMENDATION TO THE BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE
CONCERNING MANAGERIAL GROUP

Board of Trustees – June 28, 2012

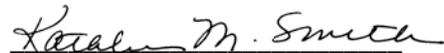
RECOMMENDATION:

The President recommends:

That the Board of Trustees adopt the attached Resolution revising the Managerial Group of the University of Louisville and waiving of security clearance for officers, Trustees, and directors not a part of the managerial group; and

That the President be authorized to take any other steps necessary with regard to agreements or assurances to the Defense Security Service to effect the facility security clearance of the University of Louisville and clearance of its personnel including compliance with the provisions of the National Industrial Security Program Operating Manual or other Federal government policy relating to safeguarding of classified information.

Approved by:



Asst. Secretary

RESOLUTION
BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

June 28, 2012

WHEREAS the Defense Security Service, Department of Defense of the Federal Government requires security clearance with the Federal Government for persons constituting the Managerial Group of the University of Louisville; and

WHEREAS, the Managerial Group must undergo government security clearance at the same level as the Facility Security Clearance; and

WHEREAS the Board of Trustees desires to delegate all of its duties and responsibilities pertaining to the protection of classified information to the Managerial Group; and

WHEREAS because of this designation the Board of Trustees will not be in a position to affect adversely the performance of classified contracts; and

WHEREAS the University of Louisville has been informed that the Federal Government will not process security clearances for members of the Board of Trustees who are not in a position to affect adversely the performance of classified contracts;

BE IT RESOLVED that the following personnel shall constitute the Managerial Group for industrial security responsibilities as described in the National Industrial Security Program Operating Manual for Safeguarding Classified Information:

Name	Position
James R. Ramsey	President
Shirley C. Willihnganz	Executive Vice President and Provost
David L. Dunn	Executive Vice President
William Pierce	Interim Executive Vice President
Michael Joseph Curtin	Vice President
Matthew H. Witten	Facilities Security Officer

THAT the said Managerial Group shall be and hereby is delegated the full authority and responsibility for negotiating, executing and administering classified contracts of the Department of Defense or other User Agencies of the United States Government awarded to the University of Louisville.

THAT the said Managerial Group personnel listed below be temporarily excluded from access to all classified information until such time that their clearances are processed and they have received appropriate security clearances:

David L. Dunn	Executive Vice President
William Pierce	Interim Executive Vice President

THAT all other officers of the University of Louisville and members of the Board of Trustees shall not require, shall not have, and can be effectively excluded from access to all classified information released to, in the possession or under the control of the University of Louisville, and do not occupy positions that would enable them to affect adversely the policies and practices of the University of Louisville in the performance of classified contracts for the Department of Defense and other User Agencies of the United States Government, Inc. need not be processed for an access authorization in accordance with previous actions taken by the Board regarding the members of the Board of Trustees, including the following officers and/or directors:

Marie Abrams
Jonathan Scott Blue
Justin Brandt
Ronald Dean Butt
Kevin W. Cosby
Owsley Brown Frazier
Salem M. George, Sr.
Daniel Hall
Priscilla Hancock
Augusta Brown Holland
Robert Curtis Hughes
A. Keith Inman
Rebecca Day Jackson
David James
Thomas Mark Jurich
Frank Minnifield
Bruce Moore
Larry L. Owsley
Robert W. Rounsavall, III
Jack Chester Porter
Debbie Scoppechio
William Selvidge
Robert Staat
Phoebe A. Wood

THAT this Resolution supersedes the Resolution of July 13, 2011, as it relates to the Managerial Group. All other provisions of that Resolution remain in full force and effect.

Certificate

I certify that I am the duly qualified Assistant Secretary to the Board of Trustees of the University of Louisville, that the foregoing is a true copy of the Resolution adopted at the regular meeting of such Board, which was held the 28th day of June, 2012, at which meeting a quorum was present and a majority of members present voted in favor of the adoption of such resolution. I further certify that such Resolution is still in full force and effect.

Dated this 28th day of June, 2012.

Assistant Secretary
Board of Trustees
University of Louisville

**RECOMMENDATION TO THE BOARD OF TRUSTEES
REGARDING INSTITUTIONAL COMPLIANCE PLAN**

Board of Trustees – June 28, 2012

RECOMMENDATION:

The President recommends:

That the Executive Vice President for Health Affairs (the "EVPHA") be delegated authority to enter into a memorandum of understanding or other agreement (the "Agreement") with University of Louisville Physicians, Inc. ("ULP"), a not for profit corporation which is the designated Practice Group (as that term is used in the University of Louisville School of Medicine Professional Practice Plan [the "Plan"]) for all full time faculty of the School of Medicine (except for those listed on Schedule E of the Plan) to provide for the following:

1). Effective on or after July 1, 2012, all individuals employed by the University of Louisville Health Sciences Center Office of Compliance ("Staff") will be transferred to ULP, such transition to occur consistent with all University human resources policies, which may include entering into a leased employee agreement with ULP on a transitional basis.

2). Effective on or after July 1, 2012, ULP will assume responsibility for aspects of the University of Louisville Health Sciences Center Compliance Plan ("Compliance Plan") which relate to billing any third party payer ("Billing Compliance") by any School of Medicine faculty member for whom ULP is the designated Practice Group.

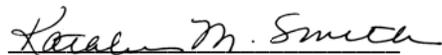
3). That the Staff continue to assure Billing Compliance for any entity (such as the University of Louisville School of Dentistry and any Practice Group listed on Schedule E of the Plan), which is subject to the Compliance Plan but which is not part of ULP, pursuant to a subcontract with ULP, it being specifically required that such subcontract be executed contemporaneously with and have the same effective date as the Agreement.

The Agreement will contain sufficient oversight and audit rights for the University to assure itself that Billing Compliance will be effectively managed under the Agreement.

That, except for Billing Compliance, the Compliance Plan remain in effect as it currently exists; however, the EVPHA and Associate Vice President for Audit Services and Institutional Compliance are hereby delegated authority to integrate the functions currently required by the Compliance Plan into the broader University Institutional Compliance Plan approved by the Board on February 16, 2012 at such time as such integration becomes feasible.

That, until such time as the action contemplated by the preceding paragraph occurs, the Compliance Plan (except for Billing Compliance) continue without change.

Approved by:



Asst. Secretary

RECOMMENDATION TO THE BOARD OF TRUSTEES TO AUTHORIZE
THE EXECUTIVE COMMITTEE TO TAKE ACTIONS BETWEEN JUNE 30,
2012 AND SEPTEMBER 12, 2012

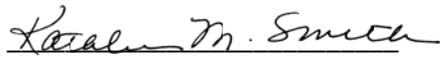
Board of Trustees – June 28, 2012

RECOMMENDATION:

The Chair recommends that the Board authorize the Executive Committee to take action on the following:

- **Monthly personnel actions and routine personnel policy revisions;**
- **Designations and awards;**
- **Other matters of housekeeping nature.**

Approved by:



Asst. Secretary