

1 **College of Education and Human Development**
2 **University of Louisville**
3 **Personnel Policies and Procedures**
4

5 The Personnel principles of the College of Education and Human Development are established by
6 Chapter 4 of *The Redbook*. This unit document is founded on those principles and details the criteria,
7 standards and procedures used within the College, subject to *The Redbook*.
8

9 **PREAMBLE**

10
11 The current edition of *The Redbook*, which contains the general personnel policies and procedures
12 of the University of Louisville, establishes the faculty's shared responsibility for such matters. The
13 faculty of the College of Education and Human Development endorses the 1966 *Statement on*
14 *Government of Colleges and Universities*, promulgated by the American Association of University
15 Professors, the American Council on Education, and the Association of Governing Boards of
16 Universities and Colleges. The *Statement*, which represents the generally accepted standards of
17 "appropriately shared responsibility and cooperative action among the components of the academic
18 institution," will be used as a guide for interpreting the particular articles of the following personnel
19 policies and procedures, especially when disputes arise regarding application of the policies and
20 procedures.
21

22 Faculty should be aware of their responsibilities regarding shared governance, and should be
23 encouraged to participate. At the same time, the College of Education and Human Development
24 should regularly re-evaluate its committee structures, adding, changing, or dissolving committees
25 to make sure that they are serving present governance needs effectively. Also, it is important that
26 in-service training is conducted for new faculty and other interested faculty members to acquaint
27 them with the concepts, policies, practices, and procedures of faculty governance. New faculty
28 orientation is an excellent time for this training.
29

30
31 **THE PERSONNEL COMMITTEE**
32

33 The Personnel Committee shall advise the Dean on all personnel matters affecting the faculty, including
34 but not limited to: appointment, promotion, tenure, salaries, and general personnel policies and
35 procedures.
36

- 37 1. The Personnel Committee shall advise the Dean and make recommendations at the Dean's
38 request or on the Committee's own initiative. The Committee may act upon the recommendation
39 of one of its members or upon being petitioned by a faculty group or an individual faculty member.
40
- 41 2. The Personnel Committee shall meet privately to consider matters involving individual faculty
42 members and shall make its recommendations regarding these matters in writing to the dean,
43 who shall meet with the Committee to hear the reasoning of its members before taking action
44 contrary to the Committee's recommendations.
45
- 46 3. The Dean shall provide the Personnel Committee with relevant documents and pertinent
47 information on any matter brought before the Committee. The Dean shall inform the Personnel
48 Committee of all administrative decisions on matters which the Committee has discussed and on
49 which it has made recommendations. The Dean shall then inform the faculty member concerned
50 and the faculty member's Department Chairperson of the Committee's recommendation and the
51 dean's decision. These results shall be recorded by the Committee secretary.
52
- 53 4. Any member of the faculty may request, in writing, to appear before the College Personnel
54 Committee to discuss any personnel matter affecting the faculty member and to ascertain the
55 Committee's recommendation in the case. Unless restricted by law, the Personnel Committee will
56 make diligent efforts to comply with any such request.
57
- 58 5. The Personnel Committee shall keep discussions and recommendations confidential if they

- 59 involve individual faculty members; however, the Committee, in session, may in matters of fact
60 finding, elect to seek additional input from faculty and/or administrators not on the Committee.
61
- 62 6. Before making a negative recommendation regarding a faculty member's tenure decision, the
63 Personnel Committee shall invite the faculty member to meet with the Committee.
64
- 65 7. The Personnel Committee's recommendations on all personnel matters shall be presented to the
66 Dean with a clear and concrete explanation, and a copy of this recommendation shall be provided
67 to the faculty member concerned and the faculty member's Department Chairperson.
68
- 69 8. The Personnel Committee and its individual members shall communicate and consult with
70 individual faculty members and with the faculty as a whole regarding personnel practices,
71 procedures, and policies in the College.
72
- 73 9. The Personnel Committee may invite any faculty member who is leaving the University to make a
74 written statement (or to meet with the Committee) regarding the College's personnel practices,
75 procedures, and policies.
76
- 77 10. Personnel decisions in the College shall be based on evidence collected, organized, and
78 presented by faculty members undergoing review, in cooperation with their Department
79 Chairperson. It is the responsibility of each person being reviewed to provide useful information
80 which will facilitate the decision-making process, and it is the responsibility of each person
81 involved in the review process to protect the integrity of the review file (the triptych or other review
82 portfolio).
83
- 84 11. At all stages of the review process within the College, reviewers shall assess the same body of
85 evidence.
86
- 87 12. Once the review file has been compiled and while it is being reviewed within the department, it is
88 in the custody of the Department Chairperson or the designated representative of the department
89 personnel committee, who shall manage access to the file.
90
- 91 13. Once the review file has been forwarded to the Dean, it shall remain in the custody of the Dean,
92 who shall manage access to the file while it remains in the College.
93
- 94 14. Once the review file has been compiled, no additional evidence (as distinct from the
95 recommendation of reviewers or rebuttals by the faculty member undergoing review as provided
96 for in this document) shall be added to the review file unless it is made available to all reviewers
97 or reviewing bodies.
98
- 99 15. Recommendations of reviewers and any other material added to a candidate's review file shall
100 become part of the file. The candidate may examine any material in the file, but the person who
101 has custody of the file shall ensure that the candidate is not informed of the identity of external
102 evaluators.
103
- 104 16. The faculty member undergoing review shall be informed in writing of any evidence or charge of
105 misconduct that has been included in the review file and shall have the opportunity to respond in
106 writing to such evidence or charge. The faculty member's written response or a written statement
107 that the faculty member has declined to respond shall be included in the review file and shall be
108 made available to all reviewers.
109
- 110 17. Faculty members undergoing review may appeal decisions of the Dean in accordance with
111 procedures established in *The Redbook*.
112
113
114
115

116 **Article 1.0 Faculty Appointments and Tenure**

117
118 **Sec. 1.1 Types of Appointments**

119
120 The College follows the policies and procedures stated in *The Redbook* (See 4.1.1 and specifics under
121 4.1.2, 4.1.3, and 4.1.4):

- 122
123 A. Full-time faculty *appointment* shall be one of three kinds: 1) non-tenurable, 2) probationary, or 3)
124 permanent tenure
125
126 B. Part-time faculty members shall be appointed by contract to engage in specified instruction,
127 research or service/administration. Part-time faculty roles and titles are as follows: If a part-time
128 faculty member is hired to teach, their title shall be 1) adjunct instructor; or 2) adjunct professor. If
129 a part-time faculty member is hired to engage in research, their title shall be 1) a research
130 scientist; or 2) a senior research scientist. If a part-time faculty member is hired to supervise or
131 perform service/administratively duties, their title shall be 1) a coordinator; or 2) a senior
132 coordinator. These classifications shall be based on the part-time faculty member's academic
133 qualifications, experience, and seniority. Part-time faculty appointments shall not be eligible for
134 tenure or count toward time for acquisition of tenure.

135 Part-time faculty members shall be included in the development of any specific performance
136 criteria and the process for changing status from an adjunct instructor to an adjunct professor; a
137 research scientist to a senior research scientist; and a coordinator to a senior coordinator. These
138 criteria shall be noted in the part-time faculty member's contract.
139

140 Part-time faculty members in the College shall only be judged on their specific work expectations.
141 The criteria in each area shall be the same as those for tenure and promotion of tenure-track
142 faculty members, adjusted for the specific work expectations to be evaluated. Part-time faculty
143 members shall be reviewed annually in writing and these reviews shall be maintained in the office
144 of the Dean.
145

146 The criteria for appointment and promotion of part-time faculty shall focus on the specific work
147 expectations of the faculty member (i.e., teaching, service/administration, research). The College
148 shall provide electronic or other forms of notice of part-time teaching opportunities to hire the
149 most qualified part-time faculty members and make the hiring process as open as possible,
150 consistent with the requirements of law and University policies.
151

- 152 C. Emeritus appointments should originate in the Department. A department personnel committee
153 recommendation along with the recommendation of the Department Chair should be sent to the
154 College Personnel Committee, who in turn will make their recommendation to the Dean
155 consistent with the criteria in Section 3.4.2.c. The Department's recommendation should include a
156 narrative summary citing the professional accomplishments and record of the university service of
157 the retiring faculty member. The Dean will then forward a recommendation to the Provost.
158 Consistent with the requirements of *The Redbook*, Section 4.1.3, this recommendation will then
159 be forwarded to the President and the Board of Trustees for approval.
160

161 **Sec. 1.2 Non-tenurable Full-Time Appointments**

- 162
163 A. Temporary Appointments

164
165 Temporary appointments to the various academic ranks may be made for time periods less than
166 one year or for special purposes. In no case shall a temporary appointment or a renewal thereof
167 result in the acquisition of tenure.
168

- 169 B. Term Faculty Appointments

170
171 Term faculty appointments pursuant to *The Redbook*, Section 4.1.1, are available in two types:
172 Clinical faculty appointments and research faculty appointments. Clinical and research faculty

173 members may be appointed for a contract period not to exceed 3 years. Such appointments shall
174 not be tenurable. No clinical or research contract, continuation, or renewal shall result in the
175 acquisition of tenure or imply renewal for subsequent terms.

- 176
177 1. Clinical faculty appointments are faculty appointments that may be funded through general
178 funds, restricted funds, or clinical revenues. Research faculty appointments are faculty
179 appointments funded through external grants, contracts, or other research allocations.
180
181 2. Clinical faculty appointments are available at the following ranks: Lecturer, Senior Lecturer,
182 Distinguished Lecturer, Assistant Clinical Professor, Associate Clinical Professor, and Clinical
183 Professor. Clinical faculty perform teaching, research, service, and/or administrative functions
184 in academic, clinical, or field settings in connection with an established academic program of
185 the College.
186
187 a. Clinical faculty appointees at the ranks of Lecturer, Senior Lecturer, and Distinguished
188 Lecturer shall hold, as a minimum, a master's degree and successful experience in clinical or
189 professional practice in a field of specialization in the academic program to which he/she is
190 appointed.
191
192 b. Clinical faculty appointees at the ranks of Assistant Clinical Professor, Associate Clinical
193 Professor, and Clinical Professor shall hold, as a minimum, an earned doctorate or other
194 appropriate terminal degree, or be working towards completion of an earned doctorate with a
195 reasonable expectation of completion within the initial appointment period, in a field of
196 specialization in the academic program to which he/she is appointed.
197 ..
198 3. Research faculty appointees are available at the following ranks: Assistant Research
199 Professor, Associate Research Professor, and Research Professor. Faculty appointed at the
200 rank of Assistant Research Professor, Associate Research Professor, and Research
201 Professor shall hold, as a minimum, an earned doctorate or other appropriate terminal degree
202 in a field of specialization in the academic program to which he/she is appointed. Research
203 faculty appointments shall have a minimum work plan assignment of 60 percent in Research.
204
205 4. The contract renewal review by the Dean shall serve as the periodic career review of Clinical
206 and Research faculty members. The College's Bylaws specify requirements and processes
207 regarding participation and franchise in unit governance by Clinical and Research faculty
208 members.
209
210 5. A non-tenurable faculty member shall be eligible to apply for and be appointed to a tenurable
211 position. The Provost's letter of appointment shall state whether and to what extent the new
212 appointment shall consider time served in non-tenurable status as prior service (Section
213 4.1.2.B.4 of *The Redbook*).
214

215 **Sec. 1.3 Probationary Appointments**

- 216
217 A. Definition
218 No probationary appointment to the University shall extend beyond the period when tenure would
219 normally be granted (Section 4.2.2).
220
221 B. Instructors
222 Probationary appointments to the rank of Instructor shall be for stipulated terms of one year each.
223
224 C. Assistant and Associate Professors
225 Probationary appointments to the rank of Assistant or Associate Professor shall be for stipulated
226 terms not to exceed two years on the initial appointment, nor three years for appointments made
227 thereafter.
228
229 D. Professors

230 Professors shall be awarded tenure if employed subsequent to the initial probationary
231 appointment.
232

233 **Sec. 1.4 Continuous Appointments (Tenure)**

235 A. Definition

236 Tenure is the right of full-time faculty personnel who hold academic rank to continuous full-time
237 employment without reduction in academic rank until retirement or termination.
238

239 B. Administrators

240 Administrative personnel who have acquired tenure are subject to the regulations herein on
241 tenure and the provisions governing termination only in their capacities as faculty members.
242

243 C. Tenure Recommendations

244 Recommendations concerning the award or denial of tenure shall originate in the faculty of the
245 academic unit in which tenure is to be granted.
246

247 D. Establishment of Tenure Date

248 For probationary appointments, the date of mandatory tenure and the number of years of
249 previous full-time service to be counted toward acquisition of tenure shall be stipulated by the
250 Provost and agreed to in writing by the nominee before the appointment is made by the Board of
251 Trustees.
252

253 **Article 2.0 Faculty Performance: Standards and Definitions**

254 The standards articulated in this section are fundamental to all faculty personnel decisions and
255 particularly to decisions involving promotion and tenure, which are the basis of the most comprehensive
256 evaluation of faculty performance.
257

258 **Sec 2.1 Teaching**

259 Teaching is the guiding of the University's students in the acquisition of knowledge, attitudes, skills, and
260 dispositions. Teaching is broadly understood to include all the activities in which a faculty member is
261 engaged in efforts to instill knowledge, improve skills, or foster attitudes and dispositions in students.
262 Therefore, the multiple criteria to be used to evaluate teaching include, not only classroom instruction, but
263 also field supervision and visitations, the various forms of individualized instruction, student advising and
264 counseling, as well as developing and refining courses, programs, and curricula. Teaching also includes
265 the directing of master's theses, specialist professional papers, doctoral dissertations, and mentoring of
266 students in interdisciplinary programs.
267

268 **Sec 2.2 Service**

269 Faculty engage in service activities when they make their academic or professional expertise available to
270 others in the University, the profession, the local community, or beyond the local community. Service is
271 the application of knowledge in one's particular discipline or field of study. Service also includes the
272 application of general academic expertise resulting from experience as a university educator, as when
273 one participates in faculty governance within the University or when service activities outside of the
274 University are linked to one's general academic expertise. Service may also include the development of
275 knowledge, insight, or new intellectual understanding that results from applying one's particular academic
276 expertise in service activities.
277

278 **Sec 2.3 Research or Creative Activity**

279 Research or Creative Activity may include empirical, theoretical, or applied research. Research requires
280 no other justification than the intrinsic good of knowing and understanding. Research may also establish
281 connections across the disciplines (multidisciplinary), reveal to specialists and non-specialists alike the
282 larger context of knowledge, and interpret the original research in one's discipline or field. Research or
283

288 Creative Activity also undergirds effective teaching and facilitates communication of the knowledge of
289 one's discipline or field to students. There are multiple ways in which research and scholarship are part of
290 the University's commitment to engage the community. A scholarly agenda may incorporate community-
291 based participatory research, practice-based research, engaged scholarship, and scholarship of
292 engagement. Engaged research is scholarly work done in full partnership with the community. It consists
293 of research and application of scholarship for the mutual benefits of the institution, community partners,
294 and larger communities (local, regional/state, national, global).

295
296 **Sec 2.4 Overall Expectations**

297
298 Unless otherwise specified in this document, all personnel reviews will seek to determine proficient
299 performance in the three standards articulated in *The Redbook* as well as above. All faculty will be
300 expected to perform at a proficient level with respect to each of these three standards.

301
302
303 **Article 3.0 Faculty Personnel Reviews**

304
305 In addition to initial reviews at the time of appointment, all faculty members of the College are reviewed
306 for various purposes and at various times during their careers. Career reviews of tenurable faculty
307 include annual review, pre-tenure review, review for tenure and promotion to Associate Professor (which
308 normally occur concurrently), review for promotion to Professor, and periodic career review. Career
309 reviews of faculty members with non-tenurable appointments include annual review, and reviews for
310 promotion as provided in Sections 3.2 and 3.4.

311
312 **Section 3.1 Reviews of Faculty Prior to Appointment**

313
314 A. Appointment Reviews (see also criteria in 1.1)

- 315
316 1. The Department Chairperson, after receiving a recommendation by the department faculty or
317 faculty committee, recommends to the Dean the person to be appointed as well as title and
318 rank.
319
320 2. The Dean submits the recommendation to the College Personnel Committee for its
321 advisement.
322
323 3. If approved by the Dean, the Dean makes a recommendation to the Provost informing the
324 Department Chairperson and the College Personnel Committee of its contents.

325
326 **Sec. 3.2 Annual Reviews**

327
328 Reviews of all faculty in the College are to be completed annually to assure continued proficient
329 performance, identify deficiencies, and support salary decisions.

330
331 A. Purpose

- 332
333 1. The primary purpose for establishing a set of Annual Review procedures is to formalize and
334 actively encourage faculty development and productivity in teaching, service, and research and
335 creative activity.
336
337 2. An additional purpose is to recognize and reward those who meet or exceed Department and
338 College performance expectations. A faculty member who demonstrates optimal performance on
339 the work assignment should be eligible for the maximum salary increase as specified by the unit's
340 merit policies such that if a faculty member's work assignment is heavily weighted toward
341 teaching or service and optimal performance is demonstrated in those areas, he or she should be
342 considered for the maximum salary increase.

343 B. Criteria and Eligibility for Annual Review

344

Each Department Chairperson will, in collaboration with the faculty of the Department and with the approval of the Dean, develop the performance objectives and criteria upon which the Annual Review salary increases will be determined and these performance objectives and criteria shall be reflected in the work plan as required in *The Redbook*. Performance objectives and criteria in each Department shall be based upon the Department's mission statement and objectives, the College's mission statement and objectives, and the standards of faculty performance in sections 2.0, 3.3 and 3.4 of the College's "Personnel Policies and Procedures." These standards refer to specific forms of scholarly endeavor to be considered and provide parameters for consideration of the quality of the work which shall be a core element of reviews.

Evaluations should be weighed according to the percentage of work effort in each area of the Annual Work Plan. Faculty who anticipate assignments that are so different from College norms that they require different criteria should propose in writing such criteria as a part of their Annual Work Plan. When this occurs the Plan must be reviewed by the Department and College Personnel Committees to check for alignment and adherence to University-wide minimum guidelines and unit specific criteria and approved by the Chairperson and Dean during the Annual Review process. It is the responsibility of the faculty member to provide evidence of the quality and impact of his or her teaching, research and creative activity, and service. The Annual Work Plan will be included in the materials submitted for the review.

C. Procedures

1. Chairpersons will meet annually with each full-time faculty member to conduct an Annual Review that is based on the allocation of effort reflected in the Annual Work Plan and criteria in sections 2.0, 3.3., and 3.4 of the College's "Personnel Policies and Procedures" document as called for above. A full-time faculty member is defined as anyone holding a full-time faculty appointment in a department. Faculty performance will be evaluated as: not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious. Part-time instructors whose principal employment is in another unit or is outside the University will not be subject to this review.

2. Each full-time faculty member will prepare and submit to his or her Chairperson a written Annual Review Report no later than January 15. Faculty who fail to turn in an Annual Review Report by the deadline without prior written approval from their Chairperson, the Dean, or without providing extenuating circumstances may not be eligible for a salary increase.

a. The Annual Review Report will include evidence of accomplishments of the preceding calendar year in the areas of Teaching, Service, and Research and Creative Activity. Chairpersons will base their reviews upon the materials and self-assessment provided by the faculty member and other documentation placed formally in the faculty member's personnel file consistent with the Preamble and College Personnel Committee process and will judge faculty accomplishments by the specific allocation of effort agreed to as part of the prior year's Annual Work Plan, including both the attainment of the goals and quality of the goals as called for in that Plan as well as the execution and quality of role assignments that appear in the Plan (See Article 4.0). It is the responsibility of the faculty member to provide evidence of the quality and impact of his or her teaching, research and creative activity, and service. The Annual Work Plan will be included in the materials submitted for the review.

The Annual Review meetings between faculty members and Chairpersons will commence by January 15 and be completed by March 1.

b. Each faculty member and his or her Chairperson will discuss the Annual Review materials and will examine evidence related to the specific performance indicators agreed upon as part of the prior year's Annual Work Plan.

The Chairperson will prepare a written recommendation to be forwarded to the Dean. The recommendation shall state whether, in the Chairperson's judgment, the faculty member's performance has been: not satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious and the recommendation shall be specific regarding weaknesses and

403 deficiencies (if any), as well as suggestions (if any) for improvement and possible
404 adjustments to future Annual Work Plans. The faculty member being reviewed shall receive a
405 copy of the Chairperson's recommendation which shall include the reminder that "the
406 performance evaluation recommended is not final until they meet with the other
407 Chairpersons, the Dean, and her/his designated senior staff to merge the Annual Reviews of
408 all faculty members into the performance categories" as is called for in part 3.2.B.2.d below.
409

410 Written recommendations shall be placed in the faculty member's College mailbox. The
411 Chairperson shall also notify the faculty member in writing of the availability of the
412 recommendation in their mailbox at the College of Education and Human Development. The
413 Chairperson should also offer to send the Annual Review recommendation electronically to
414 the faculty member.
415

416 If the faculty member disagrees with the Chairperson's written recommendation and wishes
417 to appeal, the faculty member shall meet with the Chairperson to discuss the
418 recommendation letter within 10 calendar days after receiving the Chair's recommendation. If
419 the disagreement remains unresolved following this meeting, the faculty member has the
420 right to insert into the record a written rebuttal of the Chairperson's recommendation before it
421 is presented to the Dean. The faculty member must submit any written rebuttal not more than
422 10 calendar days after the Chairperson's recommendation is available in the faculty
423 member's mailbox or 5 calendar days after the meeting with the Chair if the faculty member
424 requested such a meeting. The rebuttal must set forth the reason for the appeal but may not
425 include additional evidence. Corrections of errors of fact may be included. Any appeal will go
426 forward on the basis of the written Annual Review record as originally presented.
427

- 428 c. All recommendations for Annual Review salary increases and written rebuttals will be
429 forwarded to the Dean by March 15 of each year.
- 430
- 431 d. After all Annual Reviews recommendations are forwarded to the Dean, Chairpersons will
432 group all faculty within their Department in categories (not satisfactory, needs improvement,
433 satisfactory, meritorious, and highly meritorious). Then they will meet with the other Chairs,
434 the Dean and the Dean's designated senior staff to merge the Annual Review
435 recommendations of all faculty members into final recommendation categories. The grouping
436 process will be college-wide in order to strive for fairness in judgment across the College.
437
- 438 e. Once the Chairpersons and Dean have completed the grouping recommendations for all
439 faculty members pursuant to Section "d" above, the Dean shall assign a final faculty rating.
440
- 441 f. The Dean will discuss any rating changes to the faculty member recommendations with the
442 appropriate Chairperson. The Dean will then notify the faculty member and the Chairperson
443 in writing of the Dean's final recommendation no later than June 1, The Dean will also
444 independently place the Chairpersons, Associate and Assistant Deans in the appropriate
445 groups thereby completing the full annual salary recommendations for the College.
446

447 D. Appeals Process

- 448
- 449 1. If the faculty member disagrees with the Dean's recommendation and wishes to appeal, the
450 faculty member must first discuss the area(s) of disagreement with the Dean in a meeting
451 scheduled within 10 calendar days after receiving the Dean's recommendation. If this meeting
452 does not resolve the faculty member's appeal, the faculty member must submit a written rebuttal
453 to the Dean not more than 10 calendar days after the meeting with the Dean. The Dean shall
454 provide written notification of the Dean's final recommendation within 10 calendar days of
455 receiving the written rebuttal. If the Dean chooses not to alter the recommendation after the
456 meeting and the review of the faculty member's written rebuttal, the faculty member may present
457 a written appeal to the College Personnel Committee within 10 calendar days of the Dean's final
458 recommendation. The appeal to the College Personnel Committee must set forth the reason for
459 the appeal but may not include additional evidence. Any appeal will go forward on the basis of
460 the written Annual Review record as originally presented.

461
462 Following a review of appropriate materials by the College Personnel Committee, the Committee
463 will make an independent written recommendation to the Dean of support or nonsupport for each
464 appeal. Once the Dean, with regard to all appeals makes a final decision, he or she will meet with
465 the College Personnel Committee to discuss any decision that differs from the Personnel
466 Committee's recommendation.

467
468 At the conclusion of the appeals process, faculty members who have successfully appealed will
469 have their ranking recalibrated thereby finalizing the full College Annual Review faculty salary
470 rankings.

471
472 E. Chairpersons and Associate/Assistant Deans

- 473
474 1. The Dean will serve as the Chairperson's or Associate and/or Assistant Dean's supervisor in
475 evaluating them during the Annual Review process. The Dean will seek the advice of Department
476 faculty members and relevant others as appropriate.
477
478 2. The Annual Review of Chairpersons, Associate and Assistant Deans will commence on
479 February 1 of each year.
480
481 3. The Chairperson's, Associate Dean, or Assistant Dean's Annual Review will recognize
482 administrative as well as any faculty responsibilities.
483
484 4. The Chairperson, Associate or Assistant Dean and the Dean will meet to review the Annual Work
485 Plan and examine the indicators of success for the administrative position.
486
487 5. The Dean will inform the Chairperson, Associate Dean, or Assistant Dean by letter whether, in the
488 Dean's judgment, the Chairperson's or Associate/Assistant Dean's performance has been: not
489 satisfactory, needs improvement, satisfactory, meritorious, or highly meritorious with regard to the
490 criteria in Article 2.0, above, and with regard to the Chairperson's, Associate or Assistant Dean's
491 administrative responsibilities. The recommendation shall be specific regarding weaknesses and
492 deficiencies (if any), as well as suggestions (if any) for improvement and possible adjustments in
493 future Annual Work Plans.
494
495 6. A copy of the Dean's Annual Review letter will be retained by the Chairperson, Associate, or
496 Assistant Dean and one copy will be placed in the Dean's Office personnel files.
497
498 7. If the Chairperson, Associate or Assistant Dean disagrees with the Dean's recommendation and
499 wishes to appeal, the Chairperson, Associate or Assistant Dean must first discuss the area(s) of
500 disagreement with the Dean in a meeting scheduled within 5 calendar days after receiving the
501 Dean's recommendation. If the disagreement is not resolved during that meeting, the
502 Chairperson, Associate, or Assistant Dean may present a written appeal to the College Personnel
503 Committee within 10 calendar days of the meeting with the Dean. The rebuttal must set forth the
504 reason for the appeal but may not include additional evidence. Any appeal will go forward on the
505 basis of the written Annual Review record as originally presented. Once the Dean, with regard to
506 all appeals makes a final decision, he or she will meet with the College Personnel Committee to
507 discuss any decision that differs from the Personnel Committee's recommendation.

508
509 At the conclusion of the appeals process, Chairpersons, Associate or Assistant Deans who have
510 successfully appealed will have their ranking recalibrated thereby finalizing the full College
511 Annual Review salary rankings.

512
513 F. Salary Calculations

- 514
515 1. The final calculation of the salary increases will be based on the total pool of monies received for
516 the year from the University and the total number of Annual Review points, calculated as set for
517 below, that each faculty member, Chairperson or Associate/Assistant Dean accrues.
518

- 519 2. Administrative officers and appropriate faculty bodies shall protect faculty members from
520 inequities in salary.
521

522 Those faculty members who are rated not satisfactory will receive a zero salary increase for that
523 year.
524

525 The total annual merit raise pool will then be distributed to all faculty members who are rated
526 "needs improvement", "satisfactory", "meritorious", or "highly meritorious" as a percent of their
527 current base salary (supplements excluded) through the process described below. The total
528 annual merit raise pool shall be distributed as follows: (a) When the merit pool is less than or
529 equal to 3% or to the federal cost of living adjustment, whichever is greater, 70% of the pool
530 would be distributed to all of those receiving a rating of "needs improvement" or higher and 20%
531 would be used as a meritorious pool. The distribution of the 70% to go to all faculty members
532 receiving raises would be as a percentage of their base salary (i.e., if there is a 3% raise pool and
533 all faculty are receiving a raise, each faculty member receiving a satisfactory rating would receive
534 .7 x 3% or a raise of 2.1%). Faculty receiving the rating of "needs improvement" shall receive .50
535 (50%) of the percentage of the raise provided to those receiving ratings of "satisfactory."
536

537 Those rated as meritorious or highly meritorious shall also receive one or two annual review
538 points, respectively. For Assistant Professors the final number of annual review points earned
539 (i.e., 1 point for a rating of meritorious or 2 points for a rating of highly meritorious) shall be
540 multiplied by 1.0 to gain a weighted total of Annual Review points to be awarded. For Associate
541 Professors, the total number of annual review points earned shall be multiplied by 1.2 to gain a
542 weighted total of Annual Review points to be awarded. For Full Professors, the total number of
543 annual review points earned will be multiplied by 1.5 to gain a weighted total of Annual Review
544 points to be awarded to the individual. The 20% of the pool designated as the meritorious portion
545 , as noted above, would then be divided by the total number of weighted Annual Review points
546 awarded to arrive at the value of each annual review point. The remaining 10% of the total pool
547 would then be used by the Dean to provide for additional merit adjustments based on annual and
548 longer-term performance reviews (see, for example, 3.a below).
549

550 In the event that the merit pool provided by the University exceeds 3% or the amount of the
551 federal cost of living adjustment, whichever is greater (base level), that amount that exceeds the
552 base level shall be distributed in keeping with the above patterns and conditions but with ratios
553 now of 60%, 30%, and 10%. Faculty members receiving the rating of "needs improvement" shall
554 still receive .50 (50%) of the percentage of the raise provided to those receiving ratings of
555 "satisfactory."
556

- 557 3. Appeals will be finalized and recalibrated in the total rankings. Then, the remaining highly
558 meritorious salary pool will be divided by the total number of meritorious points (the sum of all
559 weighted points awarded) to determine the monetary value of one point for that year. Finally, this
560 monetary point value will be multiplied by each faculty members, Chairperson's, or
561 Associate/Assistant Dean's total Annual Review points to calculate each individual's final Annual
562 Review salary increase.
563
- 564 4 The Dean will inform each faculty member, Chairperson, Associate and Assistant Dean in writing
565 of the final Annual Review salary increase decisions.
566
- 567 a. The Dean's letter will include the total number of Annual Review points, the amount of any
568 salary increase and/or one-time salary adjustment for performance. Because of timing issues
569 related to University decisions concerning raises and Annual Review appeals, the Dean may
570 send two letters, the first letter indicating the award of Annual Review points and the second
571 letter once all appeals have been resolved and monies have been calculated, thus finalizing
572 the amount of every salary increase.
573
- 574 b. The Dean's letter will include the reasons for the Dean's decision.
575
- 576 c. If the performance of a faculty member, Chairperson, Associate or Assistant Dean is rated not

- 577 satisfactory, the Dean's letter will include the reasons for the rating and specific suggestions
578 for improving performance. The Provost must approve Annual Review salary decisions
579 involving not satisfactory performance ratings as these are ratings where the faculty member
580 is to receive no increase.
- 581
- 582 d. At the completion of the Annual Review process, a file shall be updated in the Department for
583 each faculty member and in the Dean's Office for each Chairperson, Associate and Assistant
584 Dean. The file shall contain the following items:
- 585
- 586 1) The Chairperson's recommendation regarding Annual Review salary increases include
587 evaluations of not satisfactory, needs improvement, satisfactory, meritorious, or highly
588 meritorious;
 - 589 2) The Dean's recommendation regarding Annual Review points and Annual Review salary
590 increases;
 - 591 3) A copy of the Annual Review Report.
- 592
- 593 e. The annual file described above (in 3.2.E.3.d), shall become part of the record to be used
594 in subsequent reviews of faculty members, Chairpersons, Associate, and Assistant
595 Deans.
- 596
- 597 5. By July 1 of each year, the Dean will provide an annual written report to the College's faculty and
598 the Provost. The report will contain:
- 599
- 600 a. The number of not satisfactory, needs improvement, satisfactory, meritorious, or highly
601 meritorious performance ratings;
 - 602
 - 603 b. A summary of the process used to arrive at such salary increases, including the results of
604 any appeals reviewed by the Dean and the Personnel Committee;
 - 605
 - 606 c. A short review of the impact of activities, the levels of quality and the indicators of
607 effectiveness deemed by Chairpersons and the Dean to warrant meritorious and highly
608 meritorious consideration; and
 - 609
 - 610 d. A frequency distribution of the percentage salary increases received by all faculty
611 members.
- 612

613 **Sec. 3.3 Tenure**

614 A. Time Required

615 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2): "All
616 probationary faculty who have had seven years of service counted as in a tenurable faculty
617 position, if reemployed full-time, shall be granted tenure."
618

619 B. Leaves of Absence

620 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 B): "One year
621 spent on an officially approved leave of absence may be counted toward the seven years of
622 full-time service necessary for tenure. Any leave granted during the probationary period must
623 carry with it a stipulation in writing as to whether the leave counts toward tenure."
624

625 C. Extension of Probationary Period

626 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 C.): "A faculty
627 member who faces extenuating circumstances that do not require a leave of absence but result in
628 a significant reduction in ability to perform normal duties (such as personal illness, the birth or
629 adoption of a child, or care of an ill family member) may request an extension of the probationary
630 period for no less than six months and no more than one year. A second extension may be
631 granted for a second extenuating circumstance. An extension shall not be granted more than two
632 (2) times within the probationary period of a faculty member. Such extensions must be requested
633

634 and approved before the end of the fifth year of the probationary period and must have
635 documentation satisfactory to the Provost.”

636
637 D. Prior Service
638 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 D.): “Previous
639 full-time service with the rank of Instructor or higher or comparable status in institutions of higher
640 learning may be counted toward the acquisition of tenure.”

641
642 E. Early Tenure
643 The College follows the policies and procedures stated in *The Redbook* (See 4.2.2 E.): “1. Tenure
644 may be granted at the time of initial appointment or in less than seven years when such action is
645 warranted. 2. A faculty member may request only one evaluation for early tenure. 3. Evaluation
646 for early tenure, once originated, shall proceed as indicated in Section 4.2.2.H. unless the faculty
647 member under review requests its withdrawal.”

648
649 F. Evidence to be Submitted for Tenure
650
651 1. General Statement of Criteria for Tenure
652 The award of tenure is the appointment of a faculty member with the right to continuous full-
653 time appointment without reduction in academic rank until retirement or termination as
654 provided in Redbook Section 4.5.3. Therefore, the tenure decision is the most important of all
655 personnel decisions and will be made with particular care. A candidate for tenure bears
656 primary responsibility for collecting, organizing, and presenting evidence to support the
657 petition for advancement. Annual Work Plans and Annual Reviews will be included in the
658 materials submitted for the review. Evaluation of the candidate’s materials will be conducted
659 by reference to the duties specified in the candidate’s Annual Work Plans.

660
661 a. Candidates should work closely with Department Chairpersons to address the following
662 criteria for the award of tenure:
663
664 (1) Rank at Appointment: Only faculty members at the rank of Assistant Professor,
665 Associate Professor, or Professor are eligible to receive tenure;
666 (2) Time Required: Normally, tenure will be awarded after seven years of service;
667 (3) Tenure may be awarded before seven years of service if merited.

668
669 b. Criteria for tenure are:
670
671 (1) Teaching;
672 (2) Service to the profession, the Department, the College, the University, or the
673 community;
674 (3) Research or creative activity.

675
676 c. Performance Standards for tenure are:
677
678 (1) Evidence of proficient performance in each of the above three areas;
679 (2) Evidence indicating the promise of continuing proficient performance on all of the
680 criteria above.

681
682 2. Faculty Performance: Standards, Definitions, and Evidence
683
684 The standards articulated in this section are fundamental to all faculty personnel decisions,
685 including career reviews, and, particularly, to decisions involving promotion and/or tenure, the
686 most comprehensive evaluation of faculty performance. Candidates should work closely with
687 Department Chairpersons or their designee to address the following standards and
688 requirements of evidence in the preparation of triptychs.

689
690
691

692
693
694
695
696
697
698
699
700
701
702
703
704
705
706
707
708
709
710
711
712
713
714
715
716
717
718
719
720
721
722
723
724
725
726
727
728
729
730
731
732
733
734
735
736
737
738
739
740
741
742
743
744
745
746
747
748
749

a. Teaching

(1) Faculty are expected to work collaboratively with students, colleagues, practitioners, and other persons within and outside the University in their teaching activities. In evaluating teaching effectiveness, assessment should take into account desired learning outcomes. Proficiency is based on what is typically expected at our benchmark institutions and is further defined by the College's and University's mission statements.

(2) Evidence of Teaching Effectiveness

The evaluation of teaching effectiveness should not be based on any one evaluation technique but, instead, should be based on multiple criteria including, but not limited to, such data to be submitted by the candidate as:

- (a) Student Evaluations: All courses in the College are evaluated by students using the standard evaluation form approved by the faculty. Candidates for promotion and tenure should submit a list, by semester, for courses taught in at least the three years preceding consideration. Candidates must include the standard evaluation form summary for courses taught in at least the three years preceding consideration. Candidates should include a note of explanation for courses taught but for which no student evaluations are included.
- (b) Testimony of Former Students: Former students are in a position to assess the value and effectiveness of instruction from a standpoint that allows more mature reflection and appreciation of its relevance to their lives and careers. Therefore, letters from former students add an important dimension to the evaluation of teaching effectiveness.
- (c) Testimony of Colleagues: The effectiveness of teaching can be competently assessed by colleagues who have had the opportunity to observe the classroom performance of a candidate or to observe the candidate engaged in the many additional sorts of teaching that occur outside the classroom. Therefore, letters solicited from such colleagues provide significant information regarding the evaluation of teaching effectiveness. If a candidate has no disciplinary peers at the University, peer review should be solicited from outside the University.
- (d) Teaching Materials: Candidates should submit course syllabi and other teaching materials they have prepared to organize and communicate the knowledge in their field for the purposes of teaching. These materials should demonstrate the candidate's use of appropriate and effective pedagogies, which may include such things as cooperative learning, instructional technologies, recognition of individual differences, pedagogical papers, and so on.
- (e) Student Research Projects: Candidates may submit student research projects (articles, presentations, etc.) for which the candidate served as a mentor. If more than one faculty member served as a mentor, the candidate should clearly indicate each mentor's role in the mentoring process. Where appropriate, information relating to the publication rate and outlets of student dissertations, theses, and other research efforts of students may also be included and considered. In addition, successfully engaging students at all levels in research, service projects, and other teaching related activities can be considered as additional evidence of proficiency in teaching.
- (f) Teaching Related Grants: Candidates may submit information about funding obtained that supports the enhancement of instruction and program

- 750 development. The candidate should clearly indicate what role they played in
751 the submission and/or administration/delivery of the grant.
752
753 (g) Additional Evidence: Candidates may submit any additional evidence of
754 teaching effectiveness, such as analyses of student performance
755 assessments, licensing exam outcomes, board scores, nationally-normed
756 progress assessments, peer reviews, teaching portfolios, curriculum
757 development, participation in teaching circles, and mentoring (students, part-
758 time faculty, and junior faculty). Teaching load, class size, and level (e.g.,
759 bachelor's, master's, doctoral) may be a factor in the evaluation of teaching
760 effectiveness, but it may not be the primary factor.
761
762 (h) Self-assessment: Candidates must submit a written self-assessment of their
763 teaching.
764
765 (3) Judgments of proficiency of teaching performance will be based upon review of all
766 the evidence presented as well as other evidence provided for in this document.
767
768 b. Service
769
770 (1) Faculty members are expected to work collaboratively with students, colleagues,
771 practitioners, and other persons within and outside the University in their service
772 activities. Proficiency is based on what is typically expected at our benchmark
773 institutions and is further defined by the College's and University's mission
774 statements. Because service contributions and impact are often difficult to
775 measure, units should encourage faculty members to describe and document their
776 contributions in service for merit and promotion considerations.
777
778 (2) Evidence of Effectiveness in Service
779
780 (a) Testimony of People or Organizations Benefiting from Service: Letters from
781 the beneficiaries of the candidate's service activities provide strong evidence
782 of effectiveness.
783
784 (b) Testimony of Colleagues: Letters should be solicited from colleagues, within
785 the University and/or the candidate's profession, who collaborated in service
786 projects or who were otherwise in a position to judge the effectiveness of a
787 candidate's service activities. Examples of such colleagues are committee
788 chairs, project directors, and other significant participants. Such testimony
789 should assess the extent of the candidate's participation and the leadership
790 exhibited in service activities.
791
792 (c) Additional Evidence: Candidates may submit any additional evidence that
793 speaks to the effectiveness of their service activities (e.g., any products
794 resulting from service activities along with evidence regarding the nature of
795 the candidate's contribution, or awards or other kinds of recognition related to
796 effectiveness). Candidates should submit any written materials relating to
797 service that provide evidence of its scholarly basis.
798
799 (d) Service Related Grants: Candidates may submit information about funding
800 that has been received to support scholarly service. The candidate should
801 clearly indicate what role they played in the submission and/or administration
802 of the grant.
803
804 (e) Self-assessment: Candidates must submit a written self-assessment of the
805 effectiveness of their service activities.
806
807 (f) Judgments of proficiency of service will be based upon review of all the

808 evidence presented as well as other evidence as provided for in this
809 document.

810
811 c. Research or Creative Activity

812
813 (1) Faculty members are expected to work collaboratively with students, colleagues,
814 practitioners, and other persons within and outside the University in their research or
815 creative activities. Proficiency is based on what is typically expected at our
816 benchmark institutions and is further defined by the University's mission statement to
817 be a premier metropolitan research university. In order to be evaluated as proficient
818 in research or creative activity, faculty members must have developed one or more
819 lines of coherent and focused scholarship consistent with the mission of the College
820 and University and appropriate for their rank and stage of career. It is expected, for
821 example, that the research or creative activity will have an impact on the faculty
822 member's field of study that is recognized at a national or international level and that
823 is also consistent with their rank and state of career (e.g., those seeking promotion to
824 Full Professor shall be expected to have a higher level of national and/or international
825 recognition and impact than would be expected at the Associate Professor level).
826 Although quantity of scholarly products alone is not a sole or sufficient criterion,
827 faculty members must demonstrate a consistent level of effort that includes
828 publication of their work in outlets consistent with the mission and goals of the
829 University and where at least a portion of that work has been submitted for peer
830 review, with a demonstrated record of favorable review. It is also expected that those
831 faculty members whose scholarship is in areas where extramural funding is
832 appropriate will demonstrate a consistent record of seeking and obtaining such
833 extramural funding to support their scholarship and related professional work. Finally,
834 the demonstration of proficiency as a mentor to students in their development as
835 scholars and researchers (e.g., through students' successful publication of work
836 carried out under the candidate's supervision), although not required for tenure
837 and/promotion can provide additional evidence of proficiency of the candidate in
838 research and creative activity.

839
840 (2) Evidence of Research or Creative Activity

841
842 (a) Publications: Candidates should submit for review books or monographs
843 published on merit and not totally subsidized by the author, articles published
844 in professional journals of quality that utilize editorial review boards, and any
845 other published works that have resulted from the candidate's scholarship
846 and that provide evidence of quality.

847
848 (b) Other Forms of Evidence: Candidates should submit any of the following:

- 849
850 1) A complete list of unpublished papers, posters, and workshop
851 materials presented at meetings of national associations that employ
852 a review process and a complete list of grant proposals, especially if
853 funded, that employ a review process;
854 2) Funded grant proposals that represent the results of research and
855 creativity; the candidate should clearly indicate what role they played
856 in the submission and/or administration of the grant. For
857 multidisciplinary grants the designation of Co-Principal Investigator
858 should carry the same weight as Principal Investigator.
859 3) Products such as instructional aides, videos, research instruments,
860 or computer software that have resulted from research and creativity;
861 4) Materials and other evidence attesting to public speeches, television
862 presentations, participation in forums, and other activities involving
863 scholarship.
864 5) Products related to entrepreneurial efforts including but not limited to
865 University approved licenses, patents, industry partnerships, and

University affiliated consulting/training programs.

- (c) External Peer Evaluations: External evaluation of research is required for tenure of probationary faculty and will follow the procedures set forth in Section 3.5. The quality of publications and other forms of scholarly dissemination is judged best by colleagues in the candidate's field or discipline. Reviews solicited from disciplinary peers are an important part of the evaluation of research and creativity.
- (d) Additional Evidence of Research: Candidates may submit any additional evidence that speaks to the quality of their research and creativity, such as citations, reviews, or other evaluative commentary regarding their work.
- (e) Self-assessment: Candidates must submit a written self-assessment of the quality of their contributions.
- (f) Judgments of proficiency of the candidates' contributions will be based upon review of all the evidence presented.

G. Pre-Tenure Review

1. Purpose

At the mid-point of their probationary periods at the University, consistent with Section 4.2.2.G of *The Redbook*, probationary faculty members are reviewed within the College to inform them of the College's assessment of their progress toward meeting the standards for the award of tenure. Recommendations will be made to assist the faculty member in preparing for tenure and promotion.

2. Procedure

- a. Each year, the College Personnel Committee identifies to department chairpersons the faculty who are scheduled for pre-tenure review. The probationary faculty member bears primary responsibility for collecting, organizing, and presenting evidence relevant to the faculty member's performance in the standard areas in 2.0, above. The faculty member should work closely with the Department Chairperson to address the criteria for the award of tenure listed above in 3.3.F.2. A portfolio resembling a triptych should be prepared, although it need not be as extensive as the triptych required for promotion or tenure. Annual Work Plans and Annual Reviews will be included in the materials submitted for the review. Evaluation of the candidate's materials will be guided by the work specified in the candidate's Annual Work Plans.
- b. The Department Chairperson prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and forwards the assessment to the College Personnel Committee (copy to the faculty member).
- c. Independently of the Chairperson's review, the Department Personnel Committee prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and forwards the assessment to the College Personnel Committee (copy to the faculty member).
- d. The College Personnel Committee prepares a written assessment of the probationary faculty member's progress toward meeting tenure standards and sends its assessment together with the previous recommendations of the Department Chairperson and Department Personnel Committee to the Dean for review. A copy of the College Personnel Committee's assessment is provided to the faculty member and the faculty member's Department Chairperson.

924
925
926
927
928
929
930
931
932
933
934
935
936
937
938
939
940
941
942
943
944
945
946
947
948
949
950
951
952
953
954
955
956
957
958
959
960
961
962
963
964
965
966
967
968
969
970
971
972
973
974
975
976
977
978
979

- e. The review shall not be final until it is approved by the Dean.
- f. The written assessment as prepared by the College Personnel Committee and as approved by the Dean will be submitted as part of the evidence for the tenure review.

H. Evaluation for Tenure

1. Each year, Department Chairpersons identify to the Dean those faculty members who will be reviewed for tenure. Faculty members who are to be reviewed bear primary responsibility for collecting, organizing, and presenting evidence to support the recommendation; they should work closely with their Department Chairperson to address the standards in 2.0, above, and the criteria delineated in 3.3.F.2. Annual Work Plans and Annual Reviews will be included in the materials submitted for the review, as well as materials assembled and reports produced under Section 3.3.G. Evaluation of the candidate's materials will be guided by the work specified in the candidate's Annual Work Plans.
2. The Department Chairperson prepares a written assessment of the faculty member's performance and forwards the assessment to the Dean and the College Personnel Committee (copy to the faculty member).
3. Independently of the Chairperson's review, the Department Personnel Committee prepares a written assessment of the faculty member's performance and forwards the assessment to the Dean and the College Personnel Committee (copy to the faculty member and the faculty member's Department Chairperson).
4. The College Personnel Committee prepares a written assessment of the faculty member's performance and forwards the assessment to the Dean (copy to the faculty member and the faculty member's Department Chairperson).
5. After considering the recommendations and assessments of the Department Chairperson, the Department Personnel Committee, and the College Personnel Committee, the Dean makes a recommendation to the Provost regarding promotion and/or tenure, informing the faculty member, the Department Chairperson, and the College Personnel Committee of the recommendation.
6. The College follows the policies and procedures stated in *The Redbook* (see 4.2.2.H.4 and specifics below). A file of all information and documents pertinent to the tenure evaluation shall be compiled with the cooperation of the faculty member. Recommendations and any other material added shall become part of the file. The faculty member may examine any substantive material in the tenure file but shall not be informed of the identity of external peer evaluators. The faculty member may add newly available material evidence for reconsideration by the previous internal evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost. The evidence in this file shall be reviewed according to the procedures specified herein and in the University's Minimum Guidelines.
7. Except in cases of early tenure, evaluations for tenure, once originated, shall proceed as indicated above unless the faculty member under review resigns from the University. Evaluations for early tenure shall proceed as indicated unless the faculty member requests withdrawal.
8. As called for in *The Redbook* in cases involving tenure, if the recommendation of the Executive Vice President and University Provost, Dean, or Department Chairperson is negative, the candidate may request a hearing before the University's Faculty Grievance Committee. This request must be delivered on or before the tenth day following the action challenged.

980
981 **Sec. 3.4 Promotion in Rank**
982

983 A. Criteria for Promotion of Full-Time Faculty Members
984

- 985 1. Criteria for evaluation for promotion are:
986 a. Teaching;
987 b. Research and creative activity; and
988 c. Service to the profession, the College, the University, or the community.
989
- 990 2. A candidate for promotion bears primary responsibility for collecting, organizing, and
991 presenting evidence to support the request for promotion. Annual Work Plans and Annual
992 Reviews will be included in the materials submitted for the review. Evaluation of the
993 candidate's materials will be guided by the work specified in the candidate's Annual Work
994 Plans. In the review process, attention is paid both to productivity since date of last hire or
995 promotion (whichever is more recent) and accomplishments over one's entire career. In all
996 cases, faculty members must supply dates for all listed activities and accomplishments,
997 making it possible for reviewers to identify clearly those that took place since the date of hire
998 or last promotion (whichever is more recent). Candidates should work closely with their
999 Department Chairperson to address the following criteria for promotion in rank:

1000
1001 a. Promotion of Non-tenurable Faculty Members
1002

1003 (1) Promotion of Clinical Faculty Members
1004

1005 a) Promotion of Lecturer to Senior Lecturer and Promotion of Assistant Clinical
1006 Professor to Associate Clinical Professor.
1007

- 1008 1. Normally, at least four years in rank as a Lecturer or Assistant Clinical
1009 Professor, two of which must be at the University;
1010 2. Evidence of proficient performance in teaching, research and creative
1011 activity, or service as governed by the percentages established in the
1012 candidate's Annual Work Plans, and the description of responsibilities and
1013 duties as outlined in the candidate's letters of appointment;
1014 3. In demonstrating proficient performance, candidates are encouraged to
1015 provide evidence of substantial related leadership contributions to the
1016 Department, College, University, and/or education community that have
1017 positively and significantly impacted specific programs or initiatives; and
1018 4. Evidence of continuing promise of proficient performance in teaching,
1019 research or creative activity, or service as governed by the percentages
1020 established in the candidate's Annual Work Plans, and the description of
1021 responsibilities and duties as outlined in the candidate's letters of
1022 appointment.
1023

1024 b) Promotion of Senior Lecturer to Distinguished Lecturer and Promotion of Associate
1025 Clinical Professor to Clinical Professor
1026

- 1027 1. Normally, at least four years in rank as a Senior Lecturer or Associate
1028 Clinical Professor, two of which must be at the University;
1029 2. At least eight years of college or university experience at the rank of Lecturer
1030 or Assistant Clinical Professor or above since earning a terminal degree or
1031 other appropriate degree.
1032 3. Evidence of proficient performance in teaching, research and creative
1033 activity, or service as governed by the percentages established in the

1034 candidate's Annual Work Plans, and the description of responsibilities and
1035 duties as outlined in the candidate's letters of appointment;
1036 4. In demonstrating proficient performance, candidates are encouraged to
1037 provide evidence of substantial related leadership contributions to the
1038 Department, College, University, and/or education community that have
1039 positively and significantly impacted specific programs or initiatives; and
1040 5. Evidence of continuing promise of proficient performance in teaching,
1041 research or creative activity, or service as governed by the percentages
1042 established in the candidate's Annual Work Plans, and the description of
1043 responsibilities and duties as outlined in the candidate's letters of
1044 appointment.

1045
1046 (2) Promotion of Research Faculty Members

1047
1048 a) Promotion of Assistant Research Professor to Associate Research Professor.

1049
1050 1. Normally, at least four years in rank as Assistant Professor and/or Assistant
1051 Research Professor, two of which must be at the University;
1052 2. Evidence of proficient performance in teaching, research and creative
1053 activity, or service as governed by the percentages established in the
1054 candidate's Annual Work Plans, and the description of responsibilities and
1055 duties as outlined in the candidate's letters of appointment;
1056 3. In demonstrating proficient performance, candidates are encouraged to
1057 provide evidence of substantial related leadership contributions to the
1058 Department, College, and/or University, that have positively and significantly
1059 impacted specific programs or initiatives as well as substantial leadership
1060 contributions to the academic field of study; and
1061 4. Evidence of continuing promise of proficient performance in teaching,
1062 research or creative activity, or service as governed by the percentages
1063 established in the candidate's Annual Work Plans, and the description of
1064 responsibilities and duties as outlined in the candidate's letters of
1065 appointment.

1066 b) Promotion of Associate Research Professor to Research Professor

1067
1068 1. Normally, at least four years in rank as an Associate Research Professor
1069 and/or Associate Professor, two of which must be at the University;
1070 2. At least eight years of college or university experience at the rank of
1071 Assistant Professor and/or Assistant Research Professor or above since
1072 earning a terminal degree or other appropriate degree;
1073 3. Evidence of proficient performance in teaching, research and creative
1074 activity, or service as governed by the percentages established in the
1075 candidate's Annual Work Plans, and the description of responsibilities and
1076 duties as outlined in the candidate's letters of appointment;
1077 4. In demonstrating proficient performance, candidates are encouraged to
1078 provide evidence of substantial related leadership contributions to the
1079 Department, College, and/or University, that have positively and significantly
1080 impacted specific programs or initiatives as well as substantial leadership
1081 contributions to the academic field of study; and
1082 5. Evidence of continuing promise of proficient performance in teaching,
1083 research or creative activity, or service as governed by the percentages

1084 established in the candidate's Annual Work Plans, and the description of
1085 responsibilities and duties as outlined in the candidate's letters of
1086 appointment.

1087 b. Promotion of Tenurable and Tenured Faculty Members

1088
1089 (1) Promotion of Tenurable Faculty Members from Assistant Professor to Associate
1090 Professor

- 1091 a) Normally, at least four years in rank as an Assistant Professor, two of which must
1092 be at the University;
1093 b) Evidence of proficient performance in each of the three standard areas (teaching,
1094 service, and research and creativity); and
1095 c) Evidence of continuing promise of proficient performance in the three areas.

1096
1097 (2) Promotion of Tenured Faculty Members from Associate Professor to Professor

- 1098 a) Normally, at least four years in rank as an Associate Professor, two of which
1099 must be at the University;
1100 b) At least eight years of college or university experience at the rank of Assistant
1101 Professor or above since earning a terminal degree;
1102 c) Evidence of proficient performance in each of the three standard areas (teaching,
1103 service, research and creativity); and
1104 d) Evidence of continuing promise of proficient performance in the three areas.

1105
1106 c. Emeritus

1107
1108 Emeritus is an honorary title that may be conferred on retired faculty who have had
1109 distinguished professional careers and who have made significant contributions to the
1110 College. Emeritus faculty may retain certain privileges including continuing to participate
1111 in the following faculty activities: (a) attend (but not vote at) faculty meetings, (b)
1112 participate in public ceremonies such as graduation and doctoral hoodings, (c) serve on
1113 doctoral program and dissertation committees and master's thesis committees, (d) teach
1114 courses, and (e) engage in other research or educational activities. Emeritus faculty may
1115 be listed in Department and College directories. Emeritus appointments may be revoked
1116 by the Dean after consultation with the College Personnel Committee.

1117
1118 (1) Criteria for Candidacy: Successful candidates for emeritus faculty status will have:

- 1119 a) At least 10 years of continuous full-time employment at the University
1120 prior to retirement; and
1121
1122 b) An outstanding record of one or more of the following:
1123
1124 1. Scholarly achievement commensurate with national and international
1125 standards within the candidate's specific discipline;
1126
1127 2. Teaching and educational contributions; or
1128
1129 3. Service to the Department, College, or University well beyond normal
1130 expectations.
1131
1132

1133 B. Evaluation for Promotion: Process

1134
1135 Each year, Department Chairpersons recommend to the Dean those faculty members who will be
1136 reviewed for promotion. Faculty members who are to be reviewed bear primary responsibility for
1137 collecting, organizing, and presenting evidence to support the recommendation; they should work

1138 closely with Department Chairpersons to address the standards in 2.0, above, and the criteria in
1139 3.3.F.2, above.

1140
1141 1. The Department Chairperson prepares a written assessment of the faculty member's
1142 performance and forwards the assessment to the Dean and the College Personnel Committee
1143 (copy to the faculty member).

1144
1145 2. Independently of the Chairperson's review, the Department Personnel Committee prepares a
1146 written assessment of the faculty member's performance and forwards the assessment to the
1147 Dean and the College Personnel Committee (copy to the faculty member and the faculty
1148 member's Department Chairperson).

1149
1150 3. The College Personnel Committee prepares a written assessment of the faculty member's
1151 performance and forwards the assessment to the Dean (copy to the faculty member and the
1152 faculty member's Department Chairperson).

1153
1154 4. After considering the recommendations and assessments of the Department Chairperson, the
1155 Department Personnel Committee, and the College Personnel Committee, the Dean makes a
1156 recommendation to the Executive Vice President and Provost regarding promotion and/or tenure,
1157 informing the faculty member, the Department Chairperson, and the College Personnel
1158 Committee of the nature of the recommendation.

1159
1160 5. The faculty member may add newly available material evidence for reconsideration by the
1161 previous evaluators or rebuttals before the file is forwarded to the Provost (see *Redbook*
1162 4.2.2.H.4).

1163
1164 6. Except in cases of early tenure, evaluations for promotion, once originated, shall proceed as
1165 indicated above unless the faculty member under review resigns from the University.

1166
1167 7. In cases involving promotion, if the recommendation of the Provost, Dean, or Department Chair
1168 is negative, the candidate may request a hearing to grieve the decision consistent with the
1169 standards in *The Redbook* in front of the University's Faculty Grievance Committee. This request
1170 must be delivered on or before the tenth day following the action being challenged.

1171
1172 C. Evaluation for Promotion: External Peer Evaluations

1173
1174 External evaluation of research is required for promotion of Probationary and Tenured faculty as
1175 provided in Section 3.5.A.1 and for Research Faculty as provided in Section 3.5.A.2. Similarly,
1176 external evaluation of teaching is required for promotion of Clinical Faculty as provided in Section
1177 3.5.A.2.

1178
1179 D. Evaluation for Promotion: Standards, Definitions, and Evidence

1180
1181 See Section 3.3.F.2 of this document, Faculty Performance: Standards, Definitions, and Evidence

1182
1183 **Sec. 3.5 External Evaluation for Tenure and Promotion**

1184
1185 The quality of publications and other forms of scholarly dissemination, or teaching proficiency is judged
1186 best by colleagues in the candidate's field or discipline. Reviews solicited from disciplinary peers are an
1187 important part of the evaluation of research and creativity, or teaching proficiency. External evaluation for
1188 all tenure and promotion decisions will follow the procedures set forth below.

1189
1190 A. The Department Personnel Committee will oversee the solicitation of external evaluations of the
1191 candidate's scholarship or teaching as required above in all cases involving tenure or promotion.
1192 The Department Personnel Committee will, in consultation with the Dean and Chairperson, begin
1193 the process of selecting evaluators and soliciting evaluations in a timely manner.

1194
1195
1196
1197
1198
1199
1200
1201
1202
1203
1204
1205
1206
1207
1208
1209
1210
1211
1212
1213
1214
1215
1216
1217
1218
1219
1220
1221
1222
1223
1224
1225
1226
1227
1228
1229
1230
1231
1232
1233
1234
1235
1236
1237
1238
1239
1240
1241
1242
1243
1244
1245
1246
1247
1248
1249
1250

1. Selection Procedures for Probationary and Tenured Faculty: Ordinarily evaluators will be at or above the rank to which the candidate seeks promotion. Evaluators should be recognized experts in the field, be from programs and/or institutions similar to the University, and be individuals who are likely to provide a fair and unbiased assessment of the candidate. The candidate will submit five names, along with addresses and emails, of people qualified to evaluate the candidate's materials. The Department Personnel Committee, in consultation with the Dean, will submit five names, along with addresses and emails, with input from Department faculty members and the Chairperson. If the candidate fails to submit a list, the evaluators will be chosen from the Department Personnel Committee's list. The Departmental Personnel Committee shall provide a short synopsis of the significant accomplishments and/or other basis for the selection of each proposed external reviewer that demonstrates why the reviewer is prominent in the reviewer's field and why the evaluation would be appropriate given the mission and goals of the College and University. The candidate has the right to challenge any external evaluator on the combined list of names with cause and must provide in writing the nature of any prior association or relationship with any evaluator on the list. From this mutually agreeable list, the Department Personnel Committee will select four to six external evaluators, at least half of whom must be from the candidate's list, if she/he has submitted a list.

2. Selection Procedures for Clinical and Research Faculty: For clinical faculty, external evaluators may be principals, superintendents, mentor teachers, or other local, state, national, or international educators familiar with the candidate's work or with the type of clinical activity the candidate is engaged in. For research faculty, external evaluators should be recognized experts in the field at or above the rank to which the candidate seeks promotion, and be from programs and/or institutions similar to the University. The candidate will present a list of five individuals outside their Department who can evaluate the teaching or research contributions of the candidate. The Department Personnel Committee will also develop a list of five potential external reviewers. The candidate has the right to challenge any evaluator on the combined list of names with cause and must provide in writing the nature of any prior association or relationship with any evaluator on the list. If the candidate fails to submit a list, the evaluators will be chosen from the Department Personnel Committee's list. The Department Personnel Committee will select four to six individuals from the pool of potential reviewers (at least half of which must be from the candidate's list, if she/he has submitted a list) to provide an evaluation of the candidate's contribution.

3. Timing and Process for Obtaining External Evaluations: Once external evaluators are identified, the Department Chairperson will solicit external reviews in writing. The Chairperson's solicitation letter should include a description of appropriate criteria for evaluation from the College's Personnel Policies and Procedures. The letter should also request a description of the reviewer's relationship to the candidate, request a detailed evaluation of the candidate's work based on materials provided, ask whether the evaluation may or may not be read by the candidate, and request a copy of the reviewer's vita. Each reviewer will be provided with the candidate's vita and pertinent scholarly materials, including but not limited to publications. The candidate will determine what materials will be provided to external reviewers, although the Department Personnel Committee or Chairperson may provide advice about the selection of materials. External evaluators will be given a reasonable time period in which to complete evaluations and should they be unable to do so will be replaced by another evaluator from the mutually agreeable list of potential external evaluators. Where less than four external reviews are received within a reasonable amount of time the Chairperson shall make reasonable efforts, in collaboration with the Department Personnel Committee, to obtain at least four reviews with at least half coming from reviewers recommended by the candidate.

B. Faculty Review and Rebuttal to External Evaluations: The faculty member has the right to review and rebut comments made by the external reviewers; however, the identity of the external reviewers will not be revealed to the faculty member unless required by law. Responses are to be made in writing and added to the triptych before being sent for further review by the Department Chair or Department Personnel Committee. The candidate will be notified when the

1251 external reviews are received and will have 10 days in which to review the evaluation and supply
1252 any rebuttal. Modifications to the time frame can be considered if the candidate is out of town
1253 when the reviews arrive. Request for modification are to be made to the Dean in writing.

1254 **Sec. 3.6 Periodic Career Reviews**

1255
1256 A. Faculty Members with Tenure

1257
1258 1. Purpose. Tenured faculty in the College shall undergo periodic career reviews to evaluate
1259 their continued scholarly and professional growth.

1260
1261 2. Procedures

1262 a. Unless otherwise specified below, all faculty members holding tenured appointments in the
1263 College shall undergo periodic career review during March and April after every fifth year of
1264 service as a tenured faculty member.

1265 1) When Deans, Associate or Assistant Deans, and other full-time administrators who
1266 hold tenured faculty appointments vacate their administrative positions, their periodic
1267 career review period shall begin when they assume full-time faculty positions.

1268 2) If the review period ends during a sabbatical year (or other leave year), the periodic
1269 career review shall be deferred until the following academic year.

1270 3) If a tenured faculty member is promoted, the promotion review shall satisfy the
1271 requirement of periodic career review, and the date of promotion shall mark the
1272 beginning of the next five-year review period.

1273 4) If a tenured faculty member is being considered for promotion during a review year
1274 but does not achieve it, the periodic career review shall take place.

1275 b. By May 1 of the year prior to the review year, the faculty member will be notified that he or
1276 she will have a periodic review in the coming academic year.

1277 c. The Dean's Office will provide to the College Personnel Committee copies of the faculty
1278 member's Annual Reviews and Annual Work Plans for the period since the last review no
1279 later than the third Friday of the review semester. The faculty member may add any other
1280 documents he or she deems appropriate. Only these documents will be reviewed. The
1281 candidate may request extramural review of his or her research. Otherwise, extramural
1282 review will not be part of the process.

1283 d. The College Personnel Committee shall examine the file and, prior to the end of the eighth
1284 week of the semester, shall issue a report to the Dean with copies to faculty member and
1285 his or her Chairperson.

1286 e. If the conclusion of the report is the faculty member's overall contribution has been
1287 *satisfactory* (met the minimum requirements of the College consistent with the standards
1288 and criteria of sections 2.0 and 3.3.F.2 delineated above) during the review period, the
1289 faculty member begins the next review period in the following academic year.

1290 f. If the conclusion of the report is that the faculty member's contribution has been meritorious
1291 or above over the entire review period, this will be noted in the faculty member's files and
1292 will be considered if supplemental salary increase money is available. The Dean shall
1293 determine the amount of any such salary increase.

1294 g. If the conclusion of the report is that the faculty member's contribution has been
1295 *unsatisfactory* (did not meet the minimum standards of the College), the report shall state

1296 the deficiency (ies) that was (were) the basis for the conclusion. Within 30 calendar days
1297 of receipt of the report, the faculty member, in consultation with his or her Department
1298 Chairperson will prepare a career development plan acceptable to the Dean to remedy the
1299 deficiency (ies) in one year, unless the Dean approves a longer period. If the faculty
1300 member and Chairperson are unable to agree upon a Career Development Plan, the Dean
1301 shall prepare a plan that is consistent with expectations of similarly situated faculty
1302 members within the College.

1303 (1) If the faculty member completes the agreed-upon one-year Career Development
1304 Plan, the faculty member shall then have one more year to demonstrate satisfactory
1305 performance.

1306 (2) The faculty member will then undergo a Career Review in the academic year
1307 following the one year given to demonstrate satisfactory performance.

1308 (3) The focus of this Career Review will be on the faculty member's Career Development
1309 Plan.

1310 (4) If the faculty member is evaluated as satisfactory, the next five-year review period
1311 begins on the following July 1.

1312 (5) If the faculty member is again evaluated as unsatisfactory, the record of the periodic
1313 career review and the record of the Career Development Plan are submitted to the
1314 Dean for appropriate action.

1315 h. If the faculty member undergoing review is a Department Chairperson, the Career
1316 Development Plan is prepared with and agreed to by the Dean.

1317 i. All rights of due process and appeal found herein or in *The Redbook* shall obtain in all
1318 reviews of faculty.

1319 B. Clinical and Research Faculty—Periodic Career Reviews
1320

1321 Clinical and Research faculty are to be reviewed annually and at the end of each contract term.
1322 Annual Work Plans and Annual Reviews will be included in the materials submitted for the review.
1323 Evaluation of the candidate's materials will be guided by the work specified in the candidate's
1324 Annual Work Plans. Periodic Career Review of Clinical and Research faculty shall be the
1325 contract renewal review (section 4.2.4.B. of *The Redbook*).
1326
1327

1328 **Article 4.0 Conditions of Faculty Employment**

1329 **Sec. 4.1 Annual Work Plan and Presence at the University**
1330

1331 A. Annual Work Plan
1332

1333 1. Each faculty member will prepare and submit to his or her Chairperson a proposed Annual
1334 Work Plan no later than November 1. The Chairperson, working with the faculty member, will
1335 review and approve the Annual Work Plan and submit to the Dean for approval no later than
1336 December 1. Chairpersons and Associate/Assistant Deans will prepare and submit to the
1337 Dean a written Annual Work Plan no later than December 1.
1338

1339 2. The Annual Work Plan should include prioritized professional goals and objectives for the
1340 forthcoming year in the areas of Teaching, Service, Research and Creative Activity, and
1341 Administration (if applicable).
1342

1343 3. The Annual Work Plan for the forthcoming year will include intended contributions related to
1344 the mission of the Department, College and University in terms of the performance objectives
1345

- 1346 and criteria described in 2.0 above and further articulated in 3.0 above.
1347
1348
1349 4. The goals and objectives for the forthcoming year (i.e., intended outcomes) will be agreed upon
1350 and the Annual Work Plan will be dated and signed by the faculty member and Chairperson.
1351 In the event that the faculty member and Chairperson cannot reach agreement the faculty
1352 member may appeal the Chairperson's requirements of the faculty member, in writing and with
1353 a detailed rationale, to the Dean no later than December 20. Any rationale provided by the
1354 Chair shall also be in writing to the Dean and the faculty member. The Dean will review the
1355 rationale(s), may meet with the faculty member and Chairperson, and will attempt to finalize an
1356 Annual Work Plan that is agreeable to the faculty member and Chairperson. If no agreement
1357 is reached prior to January 10, the Dean will determine the faculty member's final Annual Work
1358 Plan prior to January 15.
- 1359 5. The Annual Work Plan for the forthcoming year will be agreed upon and dated and signed by
1360 the Chairperson or Associate/Assistant Dean and the Dean no later than January 15.
- 1361 6. A copy of the next year's final Annual Work Plan will be retained by the Chairperson or
1362 Associate/Assistant Dean and one copy will be placed in the Dean's Office personnel files.
- 1363 7. The Annual Work Plan may be amended with the agreement of the faculty member and
1364 Chairperson or immediate supervisor. The amendment will be placed in the Dean's Office
1365 personnel files.
1366
1367
1368
- 1369 B. Basic Faculty Work Load Assignment
1370
- 1371 1. For purposes of computing faculty workload assignments, the three-credit-hour course will be
1372 the basic unit of measure: one three-hour course = 10% of academic year load.
1373
- 1374 2. The basic faculty annual workload for probationary and tenured faculty members is 50 per
1375 cent of effort devoted to teaching, 30 per cent of effort devoted to research and creative
1376 activity, and 20 per cent of effort devoted to service.
1377
- 1378 3. The basic faculty annual workload for clinical faculty members is 80 percent of effort devoted
1379 to teaching, and 20 percent of effort devoted to service.
1380
- 1381 4. The basic faculty annual workload for research faculty members is 80 percent of effort
1382 devoted to research and 20 percent of effort devoted to service; however, research faculty
1383 members' percent of effort devoted to research may not be less than 60 percent.
- 1384 C. Flexible Faculty Work Load Assignment
1385
- 1386 1. Faculty members may negotiate with Department Chairpersons for assignments that differ
1387 from the basic faculty workload provided above. Through such negotiations, Departments
1388 may seek the flexibility that allows pursuit of missions and objectives while capitalizing on the
1389 differing strengths of individual faculty members and with the understanding that probationary
1390 faculty members must demonstrate broad proficiency in the three areas specified in 2.0 for
1391 tenure and promotion.
1392
- 1393 2. Each faculty member in collaboration with his or her Chairperson may also establish with a
1394 written agreement equivalencies to be used within the Department to give load credit for
1395 faculty responsibilities including supervising student teachers, serving as a professional
1396 development school liaison, directing independent studies or course by conference, serving
1397 as director or clinical training or other academic programs, directing field experiences,
1398 chairing or serving on dissertation and masters committees, team teaching, other forms of
1399 collaborative teaching, advising, working within schools, coordinating placement of teachers
1400 and interns, research projects (both individual and multidisciplinary), edit journals, leadership
1401 of national organizations, large service grants, and other activities consistent with and
1402 necessary for the College to achieve its mission.

1403
1404
1405
1406
1407
1408
1409
1410
1411
1412
1413
1414
1415
1416
1417
1418
1419
1420
1421
1422
1423
1424
1425
1426
1427
1428
1429
1430
1431
1432
1433
1434
1435
1436
1437
1438
1439
1440
1441
1442
1443
1444
1445
1446
1447
1448
1449
1450
1451
1452
1453
1454
1455
1456
1457
1458
1459
1460

3. An individual faculty member may negotiate course releases when he/she receives outside funding.
4. All faculty workload assignments must be approved by the Dean.

D. Faculty Work Load Assignments and Faculty Reviews

1. Load assignments of faculty members will be kept on file in the Department as documentation for reviews of promotion and tenure, as well as for all periodic reviews (see 6.0, below). Evaluations of faculty performance in the standard areas in 2.0, above, will be adjusted to suit the nature of a faculty member's workload assignments during the review period. That is, for example, if a faculty member negotiates an assignment that excludes responsibility for service during a calendar year, the Annual Review recommendation will also exclude consideration of service; or, if a faculty member negotiates a reduced assignment in any of the standard areas, the Annual Review recommendation will be adjusted accordingly.
2. Tenured faculty members may choose during their careers to emphasize one or another of the categories of faculty performance. Tenured faculty members may submit written proposals regarding such variable career emphasis to their Department Chairpersons. Proposals should specify the standard areas to be emphasized, the standard area in which responsibility is to be diminished or excluded, and the time period during which the variable career plan will be in effect. When the Chairperson agrees to the proposal, it shall be reviewed by the Department Personnel Committee, and forwarded to the Dean for approval. It is important to understand that agreements reached under this provision do not supersede the criteria required for successful review and promotion to full professor. It must also be understood, however, that there may be some instances where, with the prior agreement of the Dean and Executive Vice President and Provost, and in ways consistent with *The Redbook*, activities such as administrative duties or other appropriate accomplishments may be considered more heavily as part of a faculty member's case for promotion. Any agreements reached under this provision shall be made with the full understanding of the faculty member of the potential implications for future review and promotion and all understandings should be documented in writing.
3. Other Duties - When duties other than those usually classified as teaching, research or creative activity, or service, are assigned to a faculty member, such as academic administration, program coordination, or other administrative duties, the effective performance of these duties shall be evaluated as prescribed by the evaluation procedures of the University. Ideally such duties would be of a limited scope or duration so as not to impede the normal time for promotion for any probationary faculty member or tenured faculty member at the rank of Associate Professor. In assigning such duties to probationary faculty members and faculty members at the rank of Associate Professor, the impact of any such duties on the progress towards promotion and/or tenure should be given significant consideration. Evidence of effectiveness in performance of such duties may include, but is not limited to, materials and other evidence attesting to Department leadership: program coordinator, program review and/or accreditation documents, student learning outcome reports, student orientations, course sequence and schedules, part-time faculty recruitment, mentoring and supervision, student concern documentation, and other activities involving College/Department/program academic leadership.

Sec. 4.2 Compensation

The College follows the policies and procedures stated in *The Redbook* (See 4.3.2 and specifics below): "Each faculty member's base salary, exclusive of supplemental pay, once established for tenured faculty or during a contract period at the University of Louisville shall not be reduced except in a fiscal emergency or under the most extreme circumstances."

1461 **Sec. 4.3 Work Outside the University**

1462
1463 The College follows the policies and procedures stated in *The Redbook* (See 4.3.3 and specifics below):
1464 "Full-time faculty of the University may carry out professional work outside the University, with or without
1465 pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of
1466 weeks of their employment in a given year, provided that such work is previously approved by the dean
1467 as appropriate to the faculty member's expertise and the mission of the university and provided that such
1468 work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities
1469 at the University. As part of the documentation for annual review, full-time faculty shall submit a report of
1470 this professional work outside the University under the provisions of this section. If a unit has a
1471 Professional Practice Plan that has been reviewed by the faculty of the Unit and approved by the Board of
1472 Trustees, then the Professional Practice Plan supersedes this section."
1473

1474 **Sec. 4.4 Paid Tutoring**

1475
1476 The College follows the policies and procedures stated in *The Redbook* (See 4.3.4 and specifics below):
1477 "No one shall receive any compensation for tutoring students in a course in which that person is
1478 empowered to grant the student credit or over which any direct authority may be exercised."
1479

1480 **Sec. 4.5 Sabbatical Leave**

1481
1482 The College follows the policies and procedures stated in *The Redbook* (See 4.3.5 and specifics below):
1483 "The sabbatical leave is recognized as a serious professional responsibility and shall be utilized for
1484 activities that will improve the faculty member's contribution to the University's missions. A tenured faculty
1485 member who has six contract years of full-time service at the University of Louisville may petition for a
1486 sabbatical leave of absence for one-half contract year on full pay or for one contract year on one-half pay.
1487 Faculty members on twelve-month appointments may receive six months of leave with full pay or twelve
1488 months' leave with one-half pay. No more than one year of leave, as defined in Sections 4.3.6 and 4.3.7
1489 (*The Redbook*), may be counted as years of service toward sabbatical leave. The University shall make
1490 every effort to approve all appropriate applications. Sabbatical leave shall be granted only upon the
1491 approval of the dean (and the Executive Vice President for Health Affairs, where appropriate), the
1492 Executive Vice President and University Provost, and the President. No leave will be granted without the
1493 guarantee of at least one year of continued full-time service after return from the sabbatical leave."
1494

1495 **Sec. 4.6 Leave of Absence Without Pay**

1496
1497 The College follows the policies and procedures stated in *The Redbook* (See 4.3.6 and specifics below):
1498 "A faculty member may request a leave of absence without pay at any time. The dean of the unit, the
1499 Executive Vice President and University Provost, and the President must approve such leaves.
1500 Disciplinary leaves of absence without pay may be imposed by deans with the approval of the Executive
1501 Vice President and University Provost and the President.
1502

1503 **Sec. 4.7 Leave of Absence With Pay**

1504
1505 The College follows the policies and procedures stated in *The Redbook* (See 4.3.7 and specifics below):
1506 "A faculty member may request a leave of absence with pay at any time. The dean of the unit, the
1507 Executive Vice President and University Provost and the President must approve such leaves.
1508 Disciplinary leaves of absence with pay may be imposed by deans with the approval of the Executive
1509 Vice President and University Provost and the President."
1510

1511 **Sec. 4.8 Retirement**

1512
1513 The College follows the policies and procedures stated in *The Redbook* (See 4.3.8 and specifics below):
1514 "The Board of Trustees shall make available a retirement annuity plan for full-time faculty members, after
1515 a stated minimum period of service in such capacity. Each retirement contract shall be vested in the
1516 individual participant. Faculty members will retire under the provisions and conditions set out in the
1517 retirement plan adopted by the Board of Trustees."
1518

1519 **Article 5.0 Resolution of Disagreements**

1520
1521 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4. for details).
1522

1523 **Article 6.0 Termination of Service**

1524
1525 The College follows the policies and procedures stated in *The Redbook* (See Article 4.5 for details).
1526

1527 **Article 7.0 Personnel Documents**

1528
1529 The College follows the policies and procedures stated in *The Redbook* (See Article 4.6 for details).
1530

1531 **Appendix 1: Grievance Procedures**

1532
1533 The College follows the policies and procedures stated in *The Redbook* (See Article 4.4 for details).
1534

1535 **Appendix 2: Termination Process**

1536
1537 The College follows the policies and procedures stated in *The Redbook* (See Appendix "Termination
1538 Process" for details).
1539

1540 Approved by the Faculty: 03-03-95

1541 Amended by the Faculty: 08-24-95; 09-28-95; 02-26-02; 03-04-05; 04-29-05; 03-12-10; 09-17-10; 08-14-
1542 15; 12-5-17

1543 Approved by Faculty Senate: 01-11-06; 10-06-10; 07-06-16

1544 Approved by Faculty Senate Executive Committee: 02-21-18

1545 Approved by Board of Trustees: 4-18-06; 10-14-10; 04-19-18