MINUTES OF THE MEETING OF THE
ACADEMIC AND STUDENT AFFAIRS COMMITTEE
OF THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF LOUISVILLE

September 24, 2020

In Open Session

Members of the Academic and Student Affairs Committee of the University of Louisville Board of Trustees met virtually at 1:55 p.m. on September 24, 2020 with members present and absent as follows:

Present: Dr. Raymond Burse, Chair
Ms. Sabrina Collins
Ms. Sandra Frazier
Ms. Diane Porter
Prof. Krista Wallace-Boaz

Other Trustees
Present: Mr. Scott Brinkman
Mr. Randy Bufford
Mr. John Chilton
Mr. Al Cornish
Ms. Diane Medley
Ms. Mary Nixon
Mr. James Rogers
Mr. John Smith

From the University:
Dr. Neeli Bendapudi, President
Dr. Beth Boehm, Executive Vice President and University Provost
Mr. Dan Durbin, Vice President for Finance and CFO
Mr. Thomas Hoy, General Counsel
Ms. Jasmine Farrier, Vice President for University Advancement
Mr. Ralph Fitzpatrick, Vice President for Community Engagement
Mr. Vince Tyra, Vice President for Athletics and Athletic Director
Dr. Toni Ganzel, Vice President for Academic Medical Affairs
Mr. Mark Watkins, Sr. Associate Vice President for Operations
Ms. Mary Elizabeth Miles, CHRO & Assoc. Vice President for Human Resources
Ms. Sandy Russell, Assistant Vice President for Enterprise Risk and Compliance
Mr. John Drees, Sr. Associate Vice President for Communications & Marketing
Mr. Rick Graycarek, Assistant Vice President for Budget & Financial Planning
Ms. Shannon Rickett, Assistant Vice President for Government Relations
Mr. Walter Newell, Treasurer/Controller
Dr. Michael Mardis, Dean of Students & Vice Provost for Student Affairs
Mr. Todd Kneale, Director of Total Rewards, Human Resources
Call to Order

Chair Burse called the roll. Having determined a quorum present, he called the meeting to order at 1:55 p.m. He then welcomed Ms. Porter to her first committee meeting.

Approval of Minutes, 6-25-2020

Ms. Frazier made a motion, which Prof. Wallace-Boaz seconded, to approve the minutes of the June 25, 2020 meeting.

The motion passed.

Action Items: Approval of Certificate in Healthcare Leadership

Provost Boehm briefed the committee on the recommendation to approve the creation of a certificate in healthcare leadership, a 12-credit-hour undergraduate certificate to prepare adults learners who are working in healthcare, public health, private health insurance, health care billing, and other health-related businesses. She noted the program is ideal for individuals who have acquired experience in the healthcare field and desire another credential for promotions within their organization, increased pay, or management and leadership roles.

She then fielded questions from the committee.

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

President’s recommendation that the Board of Trustees approve the creation of the Certificate in Healthcare Leadership, effective Spring 2021.

The motion passed.
III. **Action Item: Approval of Revised University Libraries Personnel Document**

The Provost briefed the committee on the recommendation to approve the personnel document for University Libraries Faculty and summarized the revisions while fielding questions from committee members.

Prof. Wallace-Boaz made a motion, which Dr. Wright seconded, to approve the

**President’s recommendation that the Board of Trustees approve the revised University Libraries Faculty Personnel Document, as attached.**

The motion passed.

IV. **Report of the Student Government Association President**

Ms. Collins reported that the 2020-2021 Student Government Association (SGA) had accomplished the following (as described in the attached presentation):

- Created SGA’s first Diversity and Inclusion Committee;
- Paid for the cost of Summer access to the Student Recreation Center for all students;
- Launched SGA Cares Hotline making it easier for students to reach the SGA representatives;
- Updated the SGA website design, making it compliant with regulations as provided by the Americans with Disabilities Act;
- Transitioned all Fall SGA programming to an online format;
- Advocated for flexibility for students who feel unsafe returning to campus amidst the pandemic; and
- Advocated for more widespread COVID-19 testing and more frequent testing dashboard updates.

Ms. Collins then fielded questions from the committee. Ms. Porter specifically commended Ms. Collins for her administration’s important work.

V. **Adjournment**

Having no other business to come before the committee, Prof. Wallace-Boaz made a motion, which Ms. Frazier seconded, to adjourn.

The motion passed and the meeting adjourned at 2:10 p.m.

Approved by:

Signature on file
Assistant Secretary
RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
CERTIFICATE IN HEALTHCARE LEADERSHIP

Academic & Student Affairs Committee – September 24, 2020
Executive & Compensation Committee – September 24, 2020

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Certificate in Healthcare Leadership, effective Spring 2021.

BACKGROUND:

The Dean of the College of Education and Human Development (CEHD) recommends the creation of the Certificate in Healthcare Leadership. This is a 12-credit-hour undergraduate certificate.

The purpose of the certificate program is to prepare adult learners who are working in healthcare, public health, private health insurance, health-care billing and payment, and other health-related businesses. This program is ideal for individuals who have acquired experience in the healthcare field and desire another credential for promotions within their organization, increased pay, or management and leadership roles.

The intended audience for this certificate includes individuals who have acquired experience in the healthcare field and desire a credential for promotions within their organization, increased pay, or management and leadership roles; and professionals in careers that span across a variety of Healthcare Leadership positions. This introductory certificate prepares professionals at the entry to mid-level, as well as clinic/service/department level positions in public or private healthcare organizations and systems.

This certificate will also fill a needed gap for students interested in pursuing the Work Ready Kentucky Scholarship (WRKS) Program from the Kentucky Higher Education Assistance Authority to pursue careers in organizational training. The WRKS is currently limited to programs that lead to a certificate or associates degree.

The Faculty Senate recommended the creation of the Certificate in Healthcare Leadership at their meeting on September 2, 2020. The certificate is considered a short-term credential and approval of the proposal by the Kentucky Council on Postsecondary Education is not required. The Executive Vice President/University Provost joins the President in making this recommendation.

COMMITTEE ACTION:
Passed ❌
Did Not Pass ❌
Other

Signature on file ☑
Assistant Secretary

BOARD ACTION:
Passed ❌
Did Not Pass ❌
Other

Signature on file ☑
Assistant Secretary
RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE UNIVERSITY LIBRARIES
FACULTY PERSONNEL DOCUMENT

Academic & Student Affairs Committee – September 24, 2020
Executive and Compensation Committee – September 24, 2020

RECOMMENDATION:

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

BACKGROUND:

A summary of revisions, attached, precedes the revised personnel document.

The revised document has been approved by the University Libraries Faculty and the Faculty Senate.

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

COMMITTEE ACTION:
Passed X
Did Not Pass
Other

Signature on file
Assistant Secretary

BOARD ACTION:
Passed X
Did Not Pass
Other

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

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

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

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

1 FACULTY APPOINTMENTS AND TENURE

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

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

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

1.4 RANK FOR NEW APPOINTMENTS
   A librarian must have a master’s degree from an American Library Association-accredited
library school or the equivalent professional credentials, or a graduate degree in other professional or scholarly fields where appropriate. An archivist must have a master’s degree in archives administration, history, library science, information management, business administration, or other relevant field.

2 FACULTY PERSONNEL REVIEWS

2.0 PERFORMANCE CRITERIA

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

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

A. Criterion A: Teaching

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

B. Criterion B: Research or Creative Activity

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

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

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

2.1 ANNUAL REVIEWS

A. Annual reviews follow The Redbook Sec. 4.2.1 and the Minimum Guidelines.
B. All ULF members must be reviewed in writing annually (See Appendix I).

C. Each faculty member creates annually a written workplan in conjunction with his or her supervisor. The workplan will support the mission and goals of the University Libraries and is the basis for all personnel reviews (See Sec. 2.0.)
   1. The annual workplan will specify the responsibilities of the faculty member for teaching, research or creative activity, and service. Each faculty member, in agreement with his or her supervisor, will indicate what percentage of effort that will be spent in Criteria A-C. The percentages represent an understanding of workload distribution between faculty member and supervisor.
   2. Faculty permanently or temporarily appointed or reassigned to specialized roles for the purpose of meeting unit needs may develop workplans that specify activity in only one of those areas.
   3. When circumstances require changes in the annual workplan, the faculty member and supervisor must file an amended plan (including an explanation of the necessary changes) for the approval of the Dean. Faculty members may not submit revised annual workplans after November 15.

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

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

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

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

H. The Personnel Committee will preserve annual reviews electronically and in the Office of the Dean. Individual faculty members will be responsible for maintaining the documentary evidence supporting each annual review through the next personnel action.
I. A positive annual review does not guarantee promotion, tenure, satisfactory periodic career review, or contract renewal.

J. Annual Review Procedure

1. The calendar for annual review is outlined in the University Libraries Faculty Personnel Committee Manual.
2. The Dean will send a letter to each ULF member announcing the date by which documentation of the year’s annual performance must be received.
3. Each faculty member will prepare a written annual performance summary describing and documenting all activities in Criteria A-C as outlined in the annual workplan. The format of the section of the annual performance summary covering Criterion A will be agreed upon by the ULF member and their supervisor and can take the form of a narrative or bulleted list. Instructions for the section that pertains to Criteria B and C will be provided by the Personnel Committee. Each faculty member is required to include in the annual review an accounting of all professional work done outside the University.
4. Each faculty member will provide his or her annual workplan and annual performance summary in print and electronic form, as well as documentation, if needed, to the supervisor, and to the Personnel Committee.
5. The supervisor will write a formal evaluation of Criterion A and the Personnel Committee will write a formal evaluation of Criteria B-C.

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

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

Commendable:
Performance and accomplishments throughout the rating period that consistently meet the standards and expectations of the position and may exceed them occasionally.

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

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

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

6. The Personnel Committee will forward the finalized evaluation(s) of Criteria B-C to the supervisor, and the supervisor will forward the finalized evaluation of Criterion A to the Personnel Committee. The supervisor or the Personnel Committee may request a meeting to discuss the review and respond to questions. After agreement has been reached between the Personnel Committee and the supervisor, the supervisor will share all evaluations with the faculty member. If an agreement cannot be reached, the supervisor’s evaluation stands for Criterion A, and the Personnel Committee’s ratings stand for Criteria B and C. The supervisor will share the final evaluations with the faculty member.

7. The supervisor and the faculty member will meet for discussion of the evaluation of Criteria A-C and, if necessary, develop recommendations for improved performance. Both the supervisor and the faculty member will sign the faculty evaluation summary and forward it back to the Personnel Committee. Each faculty member will be given an opportunity to respond to these recommendations and his or her performance evaluation so that timely adjustments may be made before the final recommendation of the dean. If agreement cannot be reached, then the faculty member may appeal as outlined in section 2.1.K of this document.

8. Ratings for each criterion will be provided to the office of the Dean for use in ranking and subsequent determination of salary increases.

9. The Dean will make salary decisions and inform each faculty member in writing of his or her salary decision.
   a. Only faculty whose performance is judged to be at the level of needs improvement or above in Criterion A will receive a salary increase. Faculty who are judged to be Unsatisfactory in Criterion A will not be eligible for a salary increase.
   b. A decision for a zero salary increase must be submitted for approval of the Executive Vice President and University Provost. This decision will include the reasons for the zero salary increase and specific suggestions for improving any performance considered to be Unsatisfactory.

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

K. Annual Review Appeal Process

1. The annual review appeal process outlined in this section is conducted outside of the University’s formal grievance procedure. For additional information about resolution of faculty disputes, consult Section 4.4 of the Redbook.

2. Faculty members have the right to appeal the performance evaluation for the current review period by submitting a claim in writing to the Appeals Committee. Claims may
concern Criterion A, B, C, or any combination thereof, and must be submitted within ten working days of receiving the performance evaluation letter. Claims must identify the specific area or areas in dispute and provide directly relevant evidence and/or facts substantiating those claims.

3. The Appeals Committee is responsible for reviewing the faculty person’s claim and may revise a faculty member’s rating. The Appeals Committee will consider the faculty member’s claim and report a final decision in writing within ten working days. During this time, the Appeals Committee may request additional evidence and/or facts from or may, if judged necessary, meet with the faculty member and/or faculty member’s supervisor(s) for further clarification and discussion.

4. When the appeal is made by a faculty member whose direct supervisor is a standing member of the Appeals Committee, the alternate member of the Personnel Committee will replace that faculty member for the duration of the appeals process through its conclusion.

5. The Appeals Committee will report the recommendation and rationale of the committee in writing to the Dean and all parties directly involved in the appeal. The Dean will respond with a rationale to the recommendation in writing to all parties directly involved in the appeal. The Dean’s decision is final within the unit.

6. Salary decisions may be appealed in writing to the Dean within five working days of receiving the salary decision letter. The Dean will reconsider the salary decision and respond in writing to the faculty member’s appeal within five working days.

2.2 TENURE REVIEWS

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

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

C. Extension of Probationary Period
   See The Redbook Sec. 4.2.2.C.

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

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

F. Criteria for Tenure

1. Completion of the probationary period with successful annual or pre-tenure reviews is not sufficient grounds for tenure. Candidates must demonstrate the level of performance required for promotion to Associate Professor as described in Sec. 2.3.A.3. It should be noted that tenure is a more critical action than promotion because it is evidence of the University’s firm and enduring commitment to the individual.

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

G. Evaluation for Tenure

1. For the purposes of tenure reviews, the University Libraries are a unit without departments or divisions.

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

3. The Personnel Committee will notify faculty members as they become eligible for tenure review.

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

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

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

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

8. The Personnel Committee will communicate its recommendation regarding tenure in writing to the Dean. This recommendation will be included in all higher levels of review.

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

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

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

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

1. Lecturers are not eligible for promotion.

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

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

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

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

B. Evaluation for Promotion
1. For the purposes of promotion reviews, the University Libraries are a unit without departments or divisions.
2. The Personnel Committee will notify faculty members as they become eligible for promotion review.
3. The candidate will submit relevant material for review, as described in Appendix II. Promotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require external review. Procedures for external review are outlined in Appendix II.
4. The candidate will be shown any material included in the promotion dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
5. After providing access to the candidate’s dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by written secret ballot for or against promotion for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate’s dossier.
6. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for promotion and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
7. The Personnel Committee will communicate its recommendation regarding promotion in writing to the Dean. This recommendation will be included in all higher levels of review.
8. The faculty member may add newly available material evidence for reconsideration by the previous evaluators before the file is forwarded to the Executive Vice President and University Provost.
9. Based on the file compiled through this process, the Dean will make the unit recommendation. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Prior to submitting the unit recommendation to the Executive Vice President and University Provost, the candidate will have the opportunity to review the recommendations and, within five working days, write a rebuttal if desired. The Dean will forward the triptych to the Executive Vice President and University Provost and will notify the Personnel Committee, the supervisor, and the candidate of the unit recommendation. Thereafter The Redbook process is followed, Sec. 4.2.2. H.
10. If the Executive Vice President and University Provost disagrees with the unit recommendation, the Executive Vice President and University Provost will send a statement of the reasons for his or her recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.

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

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

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

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

2.4 PERIODIC CAREER REVIEW

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

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

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

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

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

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

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

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

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

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

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

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

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

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

3 CONDITIONS OF FACULTY EMPLOYMENT
The conditions of faculty employment in the University Libraries follow The Redbook, Article 4.3.

4 RESOLUTION OF DISAGREEMENTS
Except for those with temporary or emeritus appointments, all ULF members may participate in the procedures described in The Redbook, Article 4.4; however, only tenured ULF members may seek election to the University Faculty Grievance Committee.
5 TERMINATION OF SERVICE
Termination of service of tenured or probationary faculty follows The Redbook, Article 4.5.

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

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

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

Approved by University Libraries Faculty: March 21, 1985
Approved by Board of Trustees: May 20, 1985
Approved by University Libraries Faculty: November 15, 1990
Approved by Board of Trustees: March 25, 1991
Amended by University Libraries Faculty: April 18, 1996
Approved by Board of Trustees: May 20, 1996
Amended by University Libraries Faculty: March 26, 1998; January 27, 1999; December 15, 1999; April 20, 2000
Approved by Board of Trustees: February 26, 2001
Amended by University Libraries Faculty: September 2001
Approved by Board of Trustees: April 22, 2002
Approved by University Libraries Faculty: September 23, 2010
Approved by Board of Trustees: November 11, 2010
Approved by University Libraries Faculty: February 20, 2012
Approved by Board of Trustees: June 28, 2012
Approved by University Libraries Faculty: June 14, 2019
Approved by Faculty Senate: June 3, 2020
Approved by Board of Trustees: September 24, 2020
The ULF had been increasingly concerned with the time and effort devoted by individual faculty members, their faculty supervisors and the Personnel Committee to meet the requirements of a complicated and heavily documented annual review process.

This concern was exacerbated in years when no funds were available for salary increases.

Due to the breadth of tasks and commitments and the variety of work between different departments and libraries, some faculty members questioned whether the Personnel Committee could appropriately evaluate the quantity and quality of work in Criterion A. Ultimately the ULF decided that assessment is best left to their faculty supervisors with the evaluation of Criteria B and C done by the Personnel Committee.

Essentially, evaluation of Criterion A is an administrative process; evaluation of Criteria B and C is more appropriately a peer review process.

Although the process continues to be based on the Annual Work plan, the format for each faculty member’s written Annual Performance Summary will be determined by the faculty supervisor for Criterion A and by the Personnel Committee for Criteria B and C.

New terms: outstanding, commendable, satisfactory, needs improvement, unsatisfactory, replaced the terms exceptional, proficient, needs improvement and unsatisfactory. The new terminology offers a more nuanced scale for faculty members demonstrating good performance.

Since faculty supervisors and the Personnel Committee found that the required meetings about each faculty member’s file rarely added value to the process, those meetings now may be requested by either the faculty supervisor or the Personnel Committee.

Instead of the Personnel Committee establishing ranked groups to recommend salary increases, those increases now are at the discretion of the dean. Previously an overall performance indication of “unsatisfactory” precluded consideration for salary increase, now successful performance in Criterion A alone allows the dean to consider a salary increase.

Changes to the Annual Review Appeal Process extends the window for filing claims from 5 to 10 working days and references an Appeals Committee, newly established as part of the ULF Bylaws amended December 2018.

The final change on 4 June 2019 was simply to align the document with the ULF Bylaws amended December 2018.
REPORT OF SGA PRESIDENT

Sabrina Collins
So far this year, the 2020-2021 SGA administration has...

- Created SGA’s first Diversity and Inclusion Committee
- Covered cost so that no student would have to pay to access the Student Recreation Center over the summer
- Launched “SGA Cares Hotline” so it is easier than ever to reach SGA
- Updated the SGA website design, and made site ADA compliant
- Transitioned all fall SGA programming to an online format

- Advocated for flexibility for students who felt unsafe coming back to campus this fall
- Advocated for more widespread COVID testing and more frequent testing dashboard updates
The 2020-2021 SGA administration is committed to...

CREATING EQUITY AND ACCESS FOR A STUDENT-CENTERED CAMPUS
Sabrina Collins  
Student Body President

- Personally convey student concerns to University administration
- Ensure that SGA is an accessible space for students in an online format
  - SGA Cares Hotline
- Reassess SGA budget to align with COVID priorities
- Advocate for affordability
- Foster partnership with PEACC Center to better support survivors of power-based personal violence
- Educate students about new Title IX regulations
Lexi Raikes
Executive Vice President

- Creation and implementation of the Diversity and Inclusion Committee
- Anti-racism education initiatives
  - Summer book and mixed media based discussions
  - More to come
- Fostering partnerships with diverse student organizations
- Advocating for better diversity and implicit bias training across campus
Ben Barberie
Academic Vice President

- Evaluate Cardinal Core Diversity metrics
  - implement elements of racial equity and justice into general education at UofL
- audit diversity outcomes in Cardinal Core
- Create an online showcase course that explores race through the lens of departments across UofL
- Create an Income Share Agreement Program
  - Alternative form of financial aid with lower interest rates than private market loans
- Ensure faculty compliance with existing regulations and recommendations
Henrietta Ransdell
Services Vice President

- Triage student concerns through unprecedented financial, material, and institutional challenges
- Improve sustainable infrastructure and practices
  - Consumer-facing compost, free store, sustainability awareness
- Begin “L Trail” Construction*
- Improve bike infrastructure to prevent theft
- Expand campus housing through 3 current projects