

3. EVALUATION FOR REAPPOINTMENT, PROMOTION, AND TENURE

According to the Statement on Collegial Governance at NKU, “[u]nder the collegial system, decision-making authority is delegated or assigned to the collegial group most expert in or responsible for the particular area in which the decision is made.” Further, “[g]enerally speaking, faculty bodies have primary responsibility for recommendations in matters directly related to academics, including ... faculty status....” Specifically, faculty bodies are given the responsibility over “academic personnel decisions,” which includes reappointment, promotion, and tenure.

3.1 CRITERIA

In making evaluations required for reappointment, promotion, and tenure, three major categories of professional responsibility are to be used. These categories, in order of importance, are teaching effectiveness; scholarship and creative activity; and service to the University, the discipline/profession and the community.

All academic units must have specific guidelines concerning expectations for reappointment, promotion, and tenure, what materials may be considered in each review category, what constitutes appropriate documentation, and how materials will be evaluated. All guidelines must be approved by a majority of the tenured / tenure-track faculty within the affected unit(s), the Chair or School Director, the Dean, and the Provost. Upon final approval by the Provost, all faculty within the affected units(s) must be notified and guidelines must be made available. All new faculty will be given a copy of these guidelines at the time of their hiring.

3.1.1 TEACHING

Teaching includes all work that is intended primarily to enhance student learning. Assessment of teaching effectiveness should take into account documented student learning, contact hours, preparations, service learning, delivery method, and/or number of students.

3.1.2 SCHOLARSHIP AND CREATIVE ACTIVITY

Scholarship and creative activity includes all work that is related to the applicant’s academic discipline or current role at the University. To qualify as scholarship or creative activity, the activity should require a high level of discipline-related or interdisciplinary expertise, and meet the standards of the discipline for scholarly and creative activity. NKU values transdisciplinary scholarship, scholarship of teaching, and scholarship of engagement in addition to traditional scholarship and creative activity.

3.1.3 SERVICE TO THE UNIVERSITY, THE DISCIPLINE/PROFESSION, AND/OR THE COMMUNITY

Service includes all work that contributes to the effective operation, governance, and advancement of programs, departments, schools, colleges, the University, one’s discipline, and/or the community. Service also includes public engagement activities.

3.2. PROCEDURES FOR DECISIONS ON REAPPOINTMENT, PROMOTION, AND TENURE

As stated in Kentucky law, all persons involved in evaluation of personnel shall consider all information received and all deliberations as confidential unless disclosure is required by law. For

purposes of communication of written recommendations, electronic versions of the documents are acceptable replacements.

3.2.1 TIME SCHEDULE

Each spring, the provost will issue a calendar listing deadlines for each step in the evaluation process for the coming academic year, a template for dossier preparation, and notification of any updates to the process.

Applications for reappointment are reviewed biennially. Each biennial review is cumulative but should be focused on the contract years under review. Each review shall consider the information provided in the applicant's dossier from the contract years under review; however, this does not prohibit documentation and/or information from previous years to be included in the evaluation. Other than exceptions defined in section 6.7, which may grant extensions, applications for tenure are ordinarily reviewed by the sixth year. The dossier for tenure will be evaluated in its full context, including all years of service and any credit for prior service negotiated at the time of the initial appointment.

3.2.2 INITIATION OF REQUEST

The applicant is responsible for initiating consideration by applying for reappointment, promotion, tenure, or a combination of them. A full-time administrator with academic rank may apply for tenure or promotion supported by documentation. The applicant will compile and submit an RPT dossier no later than 4:30 pm on the last working day of August of the academic year of their request for consideration.

3.2.3 DEPARTMENTAL/SCHOOL COMMITTEE

Each department or school, or in the case of SOTA, program, shall have a reappointment, promotion, and tenure (hereinafter, RPT) committee consisting of at least five tenured faculty members elected at a regular or special department or school faculty meeting. If necessary, a separate committee may be formed to consider promotion to full professor. Each department or school, or, in the case of SOTA, program, committee must have the same membership in a given year, with the exception of additional external members (see Section 3.2.4). Additionally for promotion committees, these five faculty members must be at least one rank above the level of the applicants. The RPT committee shall be formed from faculty within the department or school, if five or more tenured faculty of appropriate rank are available to serve. If there are not enough faculty members of appropriate rank available to form a committee of five, those faculty initially chosen to serve, in consultation with the department chair or school director, shall prepare a list of tenured faculty of appropriate rank from other departments, schools, or colleges. When choosing additional faculty members, preference shall be given to faculty members in departments or schools with affinity to the applicant's department or school. The RPT committee will fill its membership by appointing faculty from this list.

The members of the committee shall elect their own chair. The committee chair shall notify the department chair or school director of committee membership within ten working days of election.

3.2.4 DEPARTMENTAL/SCHOOL COMMITTEE: ELIGIBILITY

All tenure-track faculty in the department or school are eligible to vote to elect the committee membership. Only full-time tenured faculty may serve on the committee. The department chair or

school director may not serve on the committee. Department chairs or school directors in other departments or schools may serve on the committee provided that they are in a different college. Assistant and associate deans with faculty appointments serving as administrators with reassigned time may serve on the committee provided that they are serving as administrators in a different college. Tenured faculty with appointments in more than one department/school or discipline may serve on the committee of any department/school or discipline in which they hold an appointment. Faculty on sabbatical or paid leave are eligible but not required to serve on the committee. Faculty on unpaid leave are not eligible to serve on the committee. The Faculty Senate President will not serve on a department/school RPT committee unless there is fewer than five eligible faculty members available, in which case the Faculty Senate President can serve but will not chair the committee.

Upon agreement of RPT committee members, the department chair or school director, the appropriate dean, and the applicant, faculty external to the University and of suitable rank and tenure may serve as an additional member on the committee. Persons holding full-time administrative appointments, as defined in Section 1.8.1 are not eligible to serve on the committee. In departments or schools where no faculty members are eligible to serve on a needed RPT committee, the department or school faculty shall serve in place of the department or school committee members to elect suitable RPT committee members.

3.2.5 DEPARTMENT/SCHOOL COMMITTEE: DELIBERATIONS

A quorum of an RPT committee shall be four-fifths (4/5) of its members; a quorum is required in order for the committee to act.

Material considered by the RPT committee must include, but may not be limited to, the applicant's submissions. The committee may consider supplemental material consistent with department/school guidelines that will aid in its decision. If there is no department/school, college guidelines may be used. Material that is inconsistent with the department/school or college guidelines may not be considered. If material not submitted by the applicant is considered, the applicant must be notified immediately of this material in writing. Any supplemental material considered by the RPT committee becomes a part of the dossier going forward and should be clearly marked as supplemental material added by the committee. The letter from the committee to the department chair/school director should also note and comment on the supplemental material. As part of its deliberations, the RPT committee may meet with the applicant when such a meeting aids in the committee's decision process.

If an RPT committee requires clarification on any procedural matter, the committee should make this request to the respective department chair or school director. Committees should not ordinarily make requests to the dean, provost, university counsel, human resources, or any other university official or department.

3.2.6 DEPARTMENT/SCHOOL COMMITTEE: VOTING AND REPORTING

Nominally, each member of the committee, including the chair, shall have one vote for each applicant. In recognition of the importance of this process to the integrity of the institution, each member is expected to carefully review the relevant materials, participate as fully as possible in committee deliberations, and exercise their best professional judgment in voting either for or against a recommendation. Members may not vote to abstain. Proxy votes are acceptable if circumstances prevent a member from being physically present for the vote, provided the member reviewed the materials and participated in the committee deliberations. A member who has not reviewed the submitted materials or fully participated in committee discussion about an

applicant cannot vote on the recommendation of that applicant. It is the responsibility of the committee chair to ascertain from each member whether they have fully participated in the committee discussions and review of each candidate to be eligible to vote. The chair will make an announcement to the committee and take note of who is eligible to vote. A quorum must be present for a vote to take place, and a minimum of 4 members must vote.

The recommendation of the committee shall be reported in writing to the department chair or school director and must be characterized as either unanimous or non-unanimous. The recommendation of the committee will reflect the committee's deliberations and must be signed by all committee members who voted. Members who did not vote should not sign the letter. In cases where the committee vote is not unanimous, support for both positive and negative votes must be included in the recommendation. In the case of a tie vote, the committee's recommendation will be deemed a positive recommendation. A copy of the recommendation will be given to the applicant. After receiving a negative recommendation from the committee, the applicant may elect within three business days to withdraw the application and terminate the RPT process. When a negative recommendation is made, the applicant shall be informed, in writing, of the right to request a formal reconsideration, according to Section 3.2.14.

3.2.7 CHAIR/DIRECTOR

No sooner than three business days after receipt of the committee recommendation, the department chair or school director shall make a recommendation to the dean in writing. The chair or director may consult with the department or school committee prior to making a recommendation, but not with committee members individually. As part of his or her deliberations, the department chair or school director may meet with the applicant to aid in his or her decision. The reasons for the department chair's or school director's recommendation, whether positive or negative, shall be included in the recommendation. The department chair or school director shall forward his or her recommendation, the department or school committee's recommendation, and the applicant's file to the appropriate dean. A copy of the department chair's or school director's recommendation shall be given to the applicant and all members of the department or school committee. When a negative recommendation is made, the applicant shall be informed, in writing, of the right to request a formal reconsideration, according to Section 3.2.14.

3.2.8 DEAN

After the receipt of the recommendations from the department/school committee and the department chair/school director, the dean shall make a recommendation to the provost in writing. The reasons for the dean's recommendation, whether positive or negative, shall be included in the written recommendation. The dean may consult with the department or school committee and/or the department chair or school director prior to making a recommendation but not with individual committee members. As part of his or her deliberations, the dean may meet with the applicant to aid in his or her decision. The dean shall forward this recommendation, the department chair's or school director's recommendation, the department or school committee's recommendation, and the applicant's file to the provost. A copy of the dean's recommendation shall be given to the applicant, the department chair or school director, and all members of the department or school committee. When a negative recommendation is made, the applicant shall be informed, in writing, of the right to request a formal reconsideration, according to Section 3.2.14.

3.2.9 PROVOST

After receipt of the dean's recommendation, the department chair's or school director's recommendation, the department or school committee's recommendation, and the applicant's file, the provost shall make a written recommendation to the president. The reasons for the provost's recommendation, whether positive or negative, shall be included in the written recommendation. The provost may consult with the department or school committee, the department chair or school director, the dean, or with any combination of them but not with individual committee members. As part of his or her deliberations, the provost may meet with the applicant to aid in his or her.

A copy of the provost's recommendation shall be given to the applicant, the dean, the department chair or school director, and all members of the department committee. **When a negative recommendation is made, the applicant shall be informed, in writing, of the right to appeal using the procedures set forth in Section 14, Grievances.**

3.2.10 PRESIDENT

The president will forward the provost's recommendation to the Board of Regents.

3.2.11 BOARD OF REGENTS

Reappointment, promotion, and tenure may be granted only by the Board of Regents, and then only upon the recommendation forwarded by the president of the University. The Board shall act in accordance with statutory requirements and the bylaws of the Board of Regents.

3.2.12 NOTICE OF NON-REAPPOINTMENT

Notice of non-reappointment of a probationary contract must be in writing, by the provost, and given at least 12 months before the expiration of an appointment.

- ~~Not later than December 15 of the second academic year of service;~~
- ~~At least 12 months before the expiration of an appointment after two or more years of service at the University.~~

3.2.13 WITHDRAWAL OF APPLICATION

After receiving a negative recommendation from the RPT committee, the applicant may elect within three business days to withdraw the application and terminate the RPT process. If the process is terminated in a non-mandatory year for tenure and promotion or during promotion to full professor, there is no prejudice for future applications. If the application is withdrawn and the process is terminated in a mandatory year for promotion and tenure, normally the sixth year, the contract terminates the following May. If the faculty member fails to initiate the request for RPT, the contract will terminate the following May. However, after consultation with the department/school faculty, chair/director, and dean, the provost may offer a terminal year contract.

3.2.14 FORMAL RECONSIDERATION AND GRIEVANCE

In the case of a negative recommendation concerning reappointment, promotion, tenure, or any combination of them, the applicant has the right to a formal reconsideration only at the level of the initial negative recommendation. An "initial" negative recommendation is defined as the first negative recommendation given for a particular reason. If a negative recommendation is subsequently given at a higher level for a different reason, it shall be considered an initial negative

recommendation for the purpose of formal reconsideration. When a negative recommendation is first made, the applicant shall be informed, in writing, of the right to request a formal reconsideration.

In order to exercise this right, the affected applicant must request the reconsideration in writing within ten University working days of receipt of notification of the negative recommendation. The request and any additional materials should be sent to the chair of the department/school committee or the person who made the initial negative recommendation. Upon receipt of the request for reconsideration, the chair of the department/school committee or the person who made the initial negative recommendation must send a copy of the request for reconsideration to the Office of the Provost and Executive Vice President for Academic Affairs for the purpose of resetting the review calendar for the applicant. The department/school committee or the person who made the initial negative recommendation shall complete the reconsideration within ten university working days of having received the request for reconsideration. The applicant and all participants of previous levels of review shall be notified, in writing, of the decision reached, and the letter of reconsideration with additional submitted material and the reconsideration decision will be forwarded along with the dossier to the individual responsible for the next level of review.

During the process of reconsideration, the calendar for the recommendation is extended, and the next level of recommendation shall not consider the applicant's application until reconsideration is completed. Once the decision regarding formal reconsideration is reached, the process shall continue at the next level.

In the event of a reconsideration by the RPT committee, the procedures for the committee's deliberations, voting, and reporting will be the same procedures as specified in Sections 3.2.5 and 3.2.6 of this Handbook.

In the event the Provost makes a negative recommendation on an application for reappointment, promotion, tenure, or any combination of them, the applicant may appeal using the procedures set forth in Section 14, Grievances. The grievance must be initiated by the applicant within 15 university working days from receipt of the provost's notice.

~~3.2.14. WITHDRAWAL OF APPEAL~~

~~A faculty member may withdraw an appeal at any time by request in writing. In that event, no further action may be taken concerning the appeal. In the case of denial of mandatory tenure, if an appeal from a negative recommendation or decision is withdrawn prior to a decision on the appeal, tenure cannot be recommended.~~

~~3.2.15. TIME~~

~~Unless otherwise specified in these procedures, whenever any recommendation or notice is to be given or conveyed, it shall be given or conveyed within 15 university working days of receipt of the file by the person who is to take action.~~

Copied from the Faculty Handbook, page 75-76

12.6. PAID LEAVE FOR ILLNESS, TEMPORARY DISABILITY, OR MATERNITY PARENTAL LEAVE

Continuing faculty earn and accumulate sick leave with pay on the basis of one day per month credited on the first day of the contract year (twelve (12) days per contract-calendar year). An unlimited number of sick-leave days may be accrued. Records regarding faculty sick-leave accumulation are maintained in the office of Human Resources.

New faculty having no accrued sick leave will have one-half the yearly total credited to them at the beginning of their annual appointment; the remaining six (6) days will be credited as they accumulate monthly for the remaining half of the contract year.

Faculty who suffer temporary illness or disability, thus making them unable to perform assigned duties, will be granted paid leave for the necessary period, not to extend beyond the period that can be covered by accumulated sick leave days or ninety (90) calendar days, whichever is greater. A physician's written statement may be required by the faculty member's department/school and/or the Office of the Provost at any time during a temporary disability leave.

Faculty on paid leave will receive their regular compensation during the period of leave, as well as any salary increases, promotion, award of tenure, or any other rights that they would have received individually or as a member of the faculty had they not been on such leave.

On the first day of the month following the completion of six (6) months of continuous total disability, the faculty member is eligible for benefits under the University's group total disability insurance plan.

A maximum of five (5) accumulated sick days per contract-calendar year may be used for absences necessitated by emergency or serious illness of an immediate member of family (parents, brother, sister, spouse, child, or other persons for whom the faculty member is responsible). Faculty may use accrued sick leave for childbirth, adoption, or attending childbirth in the immediate family.

If a faculty member is ill, he/she is required to call the department chair's/school director's office as early as possible to report the absence and to make provisions to have his/her classes notified. If a faculty member anticipates an illness in excess of three (3) consecutive teaching days, the department chair/school director must be notified so that provisions can be made for covering the classes.

Unused faculty sick-leave allowance will not be paid upon termination or resignation.

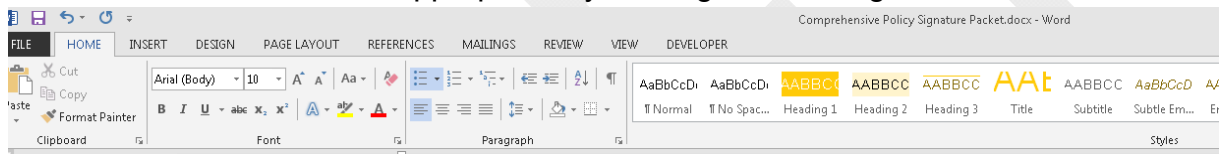


POLICY INSTRUCTIONS/TEMPLATE/SIGNATURE PACKET

Northern Kentucky University

POLICY TEMPLATE INSTRUCTIONS

- **STOP: BEFORE COMPLETING THIS PACKET, YOU SHOULD HAVE AN APPROVED POLICY REQUEST FORM.**
- The university utilizes a standard policy template to facilitate consistency and clarity of university policies. The policy template is required for all university policies.
- Depending on the subject matter or nature of the policy, the policy may include any or all of the sections in the template.
- Additional sections not included in the template may also be added to the policy as Heading 2 subsections. Be sure to format as appropriate by clicking on Heading 2 in the Home tab.



- **At a minimum, the Policy Name, Type, Responsible Official, Responsible Office, Policy Statement, Entities Affected, and Revisions (if appropriate) sections must be completed.**

The effective date, next review date, and superseding policy sections will be completed upon approval of the policy.

POLICY NAME

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: FACULTY SENATE BENEFITS COMMITTEE CHAIRPERSON

RESPONSIBLE OFFICE: FACULTY SENATE BENEFITS COMMITTEE

EFFECTIVE DATE: 1/1/2021

NEXT REVIEW DATE: 1/1/2022

SUPERSEDES POLICY DATED: [CLICK HERE TO ENTER A DATE.](#)

BOARD OF REGENTS REPORTING (CHECK ONE):

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM):

PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM):

PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

*Describe the policy's substance, core provisions, or requirements. A policy should be clear, concise, and written in plain language. State the policy provisions; this section should **not** be simply an introduction or rationale for the policy.*

Purpose and Scope

This policy is established and constructed to demonstrate NKU's commitment to a workplace culture that supports faculty and staff in balancing the challenging responsibilities of work life and family life.

Specifically, this policy sets forth benefits and provisions that support the family unit associated with the birth or adoption of a child. By design, this policy illustrates strongly held institutional values by providing parents significant time and flexibility to bond with a new child, to adjust to a modified family status and balance professional obligations. These tenants are consistent with NKU's strategy for recruiting and retaining an inclusive, diverse and exceptionally qualified workforce.

Explanation of Benefit

All requests for Parental Leave as described under this policy should be made as far in advance as possible, but not less than thirty (30) calendar days before the leave is to commence. Requests for leave should be presented in writing to the applicable department/unit head and dean. Employees may use the Paid Parental Leave benefit within 12 months from the birth/adoption date.

Faculty Employees

Upon request and following the provisions of policy, faculty, including those with administrative responsibilities, will be granted Paid Parental Leave following the birth or adoption of a child.

Duration of the Paid Parental Leave is for up to one academic semester or 16 semester weeks. If the birth/adoption occurs mid-semester or late-semester, a faculty member may choose to take paid leave during the semester in which the event occurs or the following semester.

Prior to the start of or at the expiration of a Paid Parental Leave period, it may not be feasible for a faculty member to return to customary classroom/instructional duties. Because of this, a workload modification plan must be developed that provides guidance for the faculty member's work until the next semester begins. The proposed workload modification plan will generally involve a reassignment of the faculty member to research, service or administrative duties (i.e., teaching during the bi-term, service role to the department or departmental administrative functions). Faculty are exempt from one semester's worth of teaching and service; therefore any modified teaching arrangements made during partial semesters (before and/or after

paid parental leave time) shall not equal more than one semester's worth of effort in total. The applicable college dean will authorize and approve the plan in compliance with academic policies.

Summer and winter breaks are not counted against the semester or 16 week total, respectively. Faculty will not be required or expected to attend pre-semester meetings in the semester they are taking leave. However, any holiday or closure period of less than five (5) business days is counted toward the limit.

Staff Employees

Upon request and following the provisions of policy, including those with administrative responsibilities, staff will be granted Paid Parental Leave following the birth or adoption of a child. Duration of the Paid Parental Leave is for up to 16 weeks. The applicable college dean or department director will authorize and approve the plan in compliance with university policies. Any holiday or closure period of less than five (5) business days is counted toward the limit.

Compensation for Attending Employee

The Dean or Department Chair will assign stipends to faculty and staff who are assuming the courses and responsibilities of the employee on leave. This paperwork should be completed no later than thirty (30) days before the beginning of the leave. The stipend should be an amount determined by the appropriate Human Resources representative, and should cover the time from the beginning of the leave until the end of the leave.

IN CASES WHERE BOTH PARENTS ARE NKU EMPLOYEES, THEY MAY CHOOSE TO TAKE PAID PARENTAL LEAVE INDEPENDENT OF EACH OTHER.

Option to Extend the Tenure Probationary Period

A tenure track, non-tenured faculty employee may request an extension of the tenure probationary period in conjunction with an approval Parental Leave as provided for in Faculty Handbook Section 6.7.

Considerations for Promotion

Time taken under this policy is still considered time toward promotion. In other words, if an employee member is required to complete five years of work at NKU until they are eligible for promotion and they take one semester of leave during those five years, they are still eligible for promotion at the end of five years. The employee should note their use of the paid parental leave policy in their application for promotion and that time should not count against them.

Protections for Employees

No employee shall be discriminated against or otherwise experience reprisals in any appointment, evaluation, promotion, tenure award or other employment-related process as a result of utilizing Parental Leave and other provisions specified within this policy and as articulated in the University's non-discrimination policy.

Mid/Late Term Miscarriages, Stillbirths, and Infant Mortality

In cases of loss of pregnancy, a stillbirth, or infant death, Faculty Handbook Section 12.9: FMLA (Expanded Sick Leave/FMLA) would apply.

Support for Pregnancy, Childbirth, Related Medical Conditions and Nursing Mothers

In compliance with federal and state law, employees are provided protections against employment discrimination related to pregnancy, childbirth, and related medical conditions. On request and following proscribed procedures, NKU will make reasonable accommodations to employees who are limited due to pregnancy, childbirth, and related medical conditions, except where an undue hardship would be imposed on the institution.

Nursing mothers shall be provided reasonable paid break time for purposes of expressing breast milk for a nursing child up to one (1) year after the child's birth date. Additionally, appropriate space/facilities for purposes of expressing breast milk shall be provided as follows:

- The area must be shielded from view and free of intrusion from others.
- A bathroom or restroom is inappropriate and shall not be designated as an area for expressing breast milk.
- The space may be a private area contained within a larger room or a private room that is reliably made available to nursing mothers whenever needed, but may otherwise be used for different purposes.
- The area shall be equipped with seating, a table or other flat surface, an electrical outlet and nearby access to water/sink.

II. ENTITIES AFFECTED

List the positions, units, departments, groups of people, or other constituencies to which the policy applies or has a material effect.

This will affect part-time and full-time employees, both faculty and staff.

Eligibility Criteria

There is no waiting period for full-time employees prior to being eligible for Paid Parental Leave. Part-time employees must have been employed for one (1) full semester (Fall or Spring) in order to be eligible for benefits under this policy. Part-time faculty are eligible for pay equivalent to the modal (most common) number of classes they taught in the past two academic years. Part-time staff are eligible to pay equivalent to their normal weekly rate.

III. AUTHORITY

If applicable, please provide citations and links (URLs) to any sources of authority for the policy. Examples include state or federal laws, Governing regulations, Board of Regents minutes, or an external accreditation agency.

[Click here to enter text.](#)

IV. DEFINITIONS

Define any terms used in Section 1 above that would help in the understanding or interpretation of the policy. Before including terms in this section (a) ensure that they appear in Section 1 and (b) consider whether explanations of the terms would be better embedded within Section 1. Terms already explained in Section 1 need not be redefined in this section.

For purposes of this policy, the following definitions apply:

Eligible employee: a faculty or staff member who meets FMLA or other eligibility criteria as stated within this policy.

Parent: a faculty or staff member who is a legal parent of a newborn or newly adopted child. A legal parent is one whose name appears on the respective child's birth certificate, or legal document establishing paternity or a legal document establishing adoption.

Spouse or Other Qualified Dependent/Partner: a husband or wife, as recognized under the laws of the Commonwealth of Kentucky or Other Qualified Dependent (OQD)/Partner who is financially interdependent and sharing a primary residence with the employee. The spouse or other qualified dependent (OQD)/partner, must meet FMLA and any other applicable eligibility criteria for any paid parental leave provisions under this policy.

Semester Weeks: weeks that occur during the fall and spring semesters in which faculty are teaching. Summer and winter breaks are not considered semester weeks. For staff, this consists of all weeks within an academic year, other than holiday breaks that last five (5) or more days.

Parental Leave: a period of time away from job responsibilities that may include paid and unpaid time as specified in this policy. The purpose is for the recovery from birth of a child and/or to bond with a newborn or a newly adopted child who is under the age of 18. Parental Leave must be taken within a 12-month period from the time of the event. Parental Leave may be taken in advance of the event when deemed necessary or when required to fulfill the requirements for an adoption. Utilization is limited to once during a rolling 12 month-period based on the date of the birth or executed adoption agreement. Parental Leave is intended to run concurrently with an eligible employee's qualified FMLA leave.

Paid Parental Leave: paid leave that is awarded separate from any eligible employee's balance of accrued sick or vacation leave. Paid Parental Leave is intended to run concurrently with an eligible employee's qualified FMLA leave. Pay for the paid leave period is established based on the employee's regular base salary or base hourly rate.

V. RESPONSIBILITIES

Provide the position titles, departments, or divisions that are responsible for implementing the policy. Next to each entity, enumerate the responsibilities necessary to implement and enforce the policy.

VI. COMMITTEE

If the policy creates an official university committee, describe the Committee's role, responsibilities, and composition (titles of positions).

N/A

VII. PROCEDURES

*Describe the **MINIMUM ACTIONS** required to fulfill the policy's requirements. This section should **NOT INCLUDE** internal protocols, guidelines, optional or purely desirable actions. **Note:** This is not a required section. In general, avoid including detailed procedures within the policy. Instead, this section could refer to where procedures could be found. For example, a parking policy could refer to the current procedures on NKU's parking services website and give the URL for that site.*

The basic procedures described in Faculty Handbook section 12.6 should be followed. However, this policy is requesting a paid leave rather than utilizing accrued sick leave.

VIII. REPORTING REQUIREMENTS

Describe any required reports related to the policy. Include the position title of the official or name of the department responsible for furnishing the report, and the internal and external bodies to which the report must be provided.

The reporting/record maintenance described in Faculty Handbook section 12.6 should be maintained.

IX. EXCEPTIONS

Describe when exceptions are allowed, the process by which exceptions are granted, and the title of the university official authorized to grant the exception.

This policy does not extend to student employees.

X. TRAINING

List the positions, departments, offices, or divisions responsible for implementing training. Include the entities that should receive training (e.g. Staff, Faculty, Administrators, etc.) and the frequency at which training should be delivered (at-hire, annually, bi-annually, etc.)

N/A

XI. COMMUNICATIONS

List any university committees, groups, boards, councils, or other groups to which this policy or revisions to this policy should be communicated.

Human Resources, Staff Congress, and Faculty Senate (Benefits Committee) should communicate the policy to the University body.

XII. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

Link any forms or instructions needed to comply or implement this policy. If links are unavailable, attach forms to this policy as examples.

Click here to enter text.

RELATED POLICIES

Link any currently existing policies related to this policy. If unable to obtain a link, simply list the names of the related policies.

Faculty Handbook <https://inside.nku.edu/facultysenate/handbook.html>

MEMORANDUM

TO: Matthew Zacate, Faculty Senate President and Faculty Senate Executive Committee

FROM: Charlisa Daniels, Benefits Chair

RE: Changes to Faculty Handbook, removing gender specification of parental leave; Proposing a paid parental leave policy

DATE: April 13, 2020

The Faculty Senate Benefits Committee was asked to participate in the creation of a paid parental leave policy by members of the NKU community.

Upon the undertaking of this task, it was discovered that the Faculty Handbook still touts a gender specific leave associated with the care of new children. The first change that the Benefits committee is asking the Faculty Senate to consider is the change from “Maternity Leave” to “parental Leave”. In the Rationale document, it is evident that of those who reported leave associated with the care of new children, the benefit is not requested by mothers exclusively or by majority. The proposal requests a change to the header of section 12.6.

The next consideration that the Benefits Committee is asking of the Faculty Senate is the introduction of a paid parental leave policy for faculty and staff. The policy outlines a 16 week leave associated with birth or adoption of a child, outlines eligibility criteria, addresses tenure/promotion time extensions, and additional special considerations. Accompanying this document is a Rationale document that outlines the specific experience at NKU.

The (3) documents were approved by Benefits Committee at its April 1, 2020 meeting and are attached.

Rationale for NKU Paid Parental Leave

Authors: Amy Danzo (Testing Services) and Charlisa Daniels (Benefits Chair)

Retention and hiring of high quality faculty and staff can have significant impact on the recruitment and retention of students to a university. Considering the objectives of the Success by Design Framework are focused on recruitment and retention in part, the University should reconsider some of the policies that concern present and future workforce.

In order to remain competitive in recruiting outstanding, talented, and diverse staff and faculty to NKU, it is within our best interest to adopt a separate paid parental leave policy that would supplement the current policy. The more diverse, high-caliber, student-focused critical thinkers we hire, the more we'll be recognized as a first choice for students. In order to achieve that status, we need creative ways to recruit the greatest talents to our team. One policy that should be scrutinized is the parental leave policy. Having a paid family leave policy has the potential to draw more talent to our team. According to the *National Partnership for Women & Families*, paid leave "...improves worker retention, which saves employers money through reduced turnover costs; increases worker productivity; improves employee loyalty and morale; allows smaller businesses to compete better with larger businesses; and heightens American businesses' competitiveness in the global economy."¹ Furthermore, The United States Congress Joint Economic Committee studied paid family leave in states such as California. Their research led to a fact sheet titled, *The Economic Benefits of Paid Leave: Fact Sheet*. They found the following:

- "Businesses gain from retaining workers with firm-specific knowledge and skills, and from not having to bear the sizable costs of finding and training new employees. They benefit from increased productivity and higher levels of employee satisfaction.
- The median cost to employers of having to replace an employee is estimated to be about 21 percent of that employee's annual salary.
- A survey of employers affected by California's paid family leave initiative found that only a small portion (fewer than 10 percent) reported adverse effects on profitability, turnover and morale."²

While this study does focus on businesses, it stands to reason that the benefits lend themselves to other arenas including higher education.

An additional benefit to paid leave is the ability to provide in-house professional development and non-salaried stipends for other staff and faculty. According to Ty Kisel in his article titled, *Parental Leave in Small Businesses*, he states that, "If you have an entry-level employee who is ready for the next step, this can be the perfect time to give them more responsibility and expand their skill set. It also sets you up to have employees who have a deeper understanding of your business and can fill in beyond parental leave, such as if someone else is sick, on vacation, or called into jury duty."³

Upon adopting such a policy, it is evident that NKU will emerge among its comparable institutions, especially in Kentucky and the Cincinnati metropolitan area, that affords its employees paid parental

leave. There are several local models that could be combined to produce a new parental leave policy for NKU.

For example, Xavier (private) and Murray State University (public) have been researched. While Murray State University offers their employees 26 work weeks (6 months) of leave, it is unpaid.⁴ Xavier, on the other hand, does offer a paid leave at full salary. Xavier’s policy offers 8 weeks paid leave of the 12 work week federal Family and Medial Leave Act (FMLA) policy.⁵ Last year, news emerged that Western Kentucky University is close to adopting a paid parental leave policy⁶. The potential WKU leave states that, “The paid leave is awarded separately from any accrued sick or vacation leave balance, and it’s intended to run concurrently with an eligible employee’s leave under the federal Family Medical Leave Act.”⁶ However, this leave policy only covers the leave of faculty, excluding staff. The proposed NKU parental leave policy would afford all NKU employees access to 16 weeks of paid family leave, with an opportunity for an addition 10 weeks to either take unpaid or to use accrued sick and vacation time. The employees would have to meet the same standards that they need to meet to access our current FMLA leave.

Updating this policy has the opportunity to be immensely beneficial to new parents on campus. This is a population that is small, but the benefits of extending the policy could have great effect in the recruitment and retention of quality talent at NKU. Data from Human Resources (Table 1) shows that less than 30 employees reported use of the parental leave benefit in the last 2 years. It is notable that the use of parental leave is equal between mothers and fathers. It should also be of interest that reported use is higher among staff than faculty, though reporting may not be thorough for reasons discussed later in this document.

	2018	2019
Parental Leave	27	29
Maternity	14	13
Paternity	12	16
Faculty		6
Staff		23

Table 1: Breakdown of parental leave reported to Human Resources office at NKU

Since the parental leave at NKU is unpaid, there have been innovative measures taken to try to help assuage the financial gap. One of those measures is headed by the NKU Benevolent Association. This group hosts biannual events that accepts donations in monetary or sick/vacation leave form. Table 2 is the breakdown from Human Resources that outlines the donations from 2011-2018 (in reverse chronological order). These donated benefits are available to anyone taking FMLA leave, so it is not a direct indicator of the use of parental leave. However, it does illustrate how fractional and wildly varied the donations are in supporting employees during unpaid leave. The leave granted through this benefit is roughly 3-4 weeks, as shown by the hourly breakdown in the third row of Table 2.

	2018	2017	2016	2015	2014	2013	2012	2011
# of requests awarded	17	23	28	11	17	23	15	12
Hours awarded (per person, if equally distributed)	2130 (125.3)	3133 (136.2)	3934 (140.5)	1785 (162.3)	1884 (110.8)	2870.25 (124.8)	2587.50 (172.5)	1889 (157.4)
Dollars awarded	\$2,452.66	\$3,600	\$2,000	\$2,000	\$1,852	\$6,000	\$2,000	\$2,000

Table 2: Breakdown of Benevolent Association's donations of sick/vacation time and money for eligible employees.

Another point of inconsistency is the way in which parental leave is instituted throughout the university. While certain supervisors agree to some form of paid leave, an employee may find themselves working in an environment that is less accommodating.

- In 2016, a woman on parental leave was not given paid time off. She had to use all of her sick and vacation time, plus work out an arrangement with her supervisor to be able to have a paycheck throughout her leave. However, when she returned, she was forced to remain hopeful that her or her children would not get sick until she accrued enough time again to cover it.
- In 2012, a faculty member took parental leave for the first 8 weeks of the semester. She used her accrued sick leave to support her leave. Her students, teaching evaluations, and teaching style were impacted by the mid-semester change. In addition, she was not excused from administrative duties and was working remotely with regards to her service duties.
- In 2018, a new faculty member, with no accrued sick leave, took 6 weeks of parental leave. The department chair orchestrated a myriad of service and off-campus teaching duties for her to achieve in order to satisfy conditions to remain salaried.
- A faculty member who has taken 2 parental leaves (2012 and 2017). She taught her courseload in 7-week sessions in her third trimester to keep her teaching load intact, which would keep her salaried. She worked with the dean to have her research and other duties make up for the non-teaching credits. She came back after (a little less) than 3 months out on leave. She was exhausted and a less than effective teacher.
- In 2016, a faculty member took parental leave for the last 4 weeks of a semester. Two colleagues took over her courseload. One added two of her courses to their existing three courses for the semester; the other added her remaining course to their existing four course load. Neither was compensated.

Lastly, an unexpected benefit to the university comes from employees who are able to acquire new skills and offer higher contributions to the university. While their workloads are altered, most were able to

achieve compensation. It would be prudent for adequate compensation to be available for all employees who are increasing their workload temporarily. Below are some examples that illustrate the benefit according to an on campus supervisor.

- In 2012, a woman staff member went on parental leave. In order to cover her duties, several staff members were recruited to learn her job responsibilities. These staff members were also paid a stipend. Two of the three recruited were outside of her department; therefore, they were learning completely new skills. One of these staff members' job titles was Counselor at the time. This staff member is now an Associate Director. Another of the staff members' job titles at the time was Director. That staff member is now an Assistant Vice President.
- In 2016, a woman staff member went on parental leave. Again, staff members were recruited to take over her duties. One of these staff members – who was part-time – was able to increase her hours during this time period. The other one was given a stipend. The staff member whose hours were increased had the job title of Specialist at the time. She is now an Assistant to the Vice Provost. The other staff member who received a stipend during this time had the job title of Coordinator. She is now an Assistant Director.

It is important to note that this policy wouldn't just affect faculty and staff – students are also invested in seeing to it that their faculty and staff are getting paid parental leave. The student newspaper, *The Northerner*, used their last issue in the 2018-19 academic year to bring light to the lack of paid leave at NKU.⁷ These students took this issue up on their own accord and investigated, interviewed, and wrote several pieces to bring awareness to the lack of paid leave at NKU.

As we can see from NKU's own examples, adopting this policy increases the likelihood for employees to gain skills that will aid them in being promoted throughout the university. It would also give mothers and fathers more of an incentive to return to work after their leave. They would feel valued by their employer – and, even indebted. And, most importantly, this would promote a family-first climate across the university. We all want our NKU mothers and fathers to bond with their children – to raise them with empathy, critical thinking skills, and to be productive and responsible citizens. In closing, it's important to touch on the areas in which adopting paid parental leave would speak to NKU's *Success by Design*. One of the Completion Objectives is the enhance the culture of service-orientation. This is best accomplished with long-serving staff and faculty in crucial roles. Because NKU stands to reduce turnover by enacting this policy, our students have a better chance at completion since key personnel would still be up-to-date on student plans and processes. If the coordinated care piece is to work, it would mean cross-training personnel and being proactive about the chance of one of them being on leave. Therefore, they could have a succession plan in place. And, instead of employees looking for other jobs during their leave, they would be preparing to arrive back to a workplace that values them. So, they'd be able to pick up right where they left off. *Success by Design* only works if there are highly diverse, motivated, confident, and valued employees behind the initiatives. With a paid parental leave policy in place, *Success by Design* has a better chance of succeeding.

Works Cited




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Special Rules for conducting business of the Faculty Senate while NKU is in “virtual continuity of operations” mode

(Requires 2/3 vote)

Meetings of the Faculty Senate will be conducted virtually, using the Zoom online meeting software (available for download and user configuration at <https://nku.zoom.us/> using NKU login).

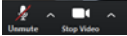
Owing to the large number of participants attending senate meetings, the following rules will be observed to foster orderly meetings and maintain integrity of vote results.

1. Zoom profile setup
 - a. Voting members will set their Zoom profile and/or connect with a link-name using their first and last names with an asterisk (*) after their last names. Instructions for setting this up can be found on the next page.
 - b. Non-voting members will ensure that an asterisk does not appear after their names.
2. Meeting participants will keep phones/microphones muted when they do not have the floor in order to minimize background noise during the meeting.
 - a. The senate president, as meeting host, and designated co-hosts of the meeting will have the ability to mute participants when they do not have the floor.
 - b. A participant who wishes to address the assembly, raise a point of order, *etc.* should use the raise-hand icon (), which can be found at the bottom of the participants panel, and wait until he/she is recognized to unmute and speak. Instructions for finding the participants panel are on the next page.
3. Voting
 - a. Votes ordinarily cast by voice (aye versus no) in regular senate meetings will be cast using the yes () and no () icons, which can be found at the bottom of the participants panel. Instructions for finding the participants panel are on the next page.
 - b. In the event that there is a vote by ballot, the anonymous polling feature of zoom will be used. The host and designated co-hosts will put non-voting members and guests on hold during the poll to ensure that only voting members are allowed to cast votes.
4. Use of **chat** in Zoom.
 - a. Ideally, chat will mainly be used to alert the meeting host and designated co-hosts of technical problems, so that the co-hosts can try to help participants resolve those issues.
 - b. If technical issues cannot be resolved, participants may make motions, contribute to discussion, vote, *etc.* via chat, and co-hosts will relay chat content to the assembly.
 - c. Chat also may be used to communicate in writing proposed wording changes in motions to amend or change.
 - d. Instructions for activating the chat panel are provided on the next page.

Note that meeting attendees will be allowed to use phones for audio; however, votes must be cast as described above in the Zoom software/app.

Instructions for using Zoom

Setting user's name (as it will appear in the participants panel)

- When joining the meeting (possibly the easiest) – enter your name (with or without asterisk, as appropriate) in the Your Name box in the Join Meeting dialog box.
- Before the meeting (recommended)
 1. Sign in at <https://nku.zoom.us/> and select profile
 2. Click the Edit link to the right of your name
 3. Edit name (including or excluding asterisk, as appropriate)
 4. Press the save changes button
- During the meeting (Windows)
 1. Click the arrow next to the right of the video button () in meeting controls
 2. Select Video Settings...
 3. Select Profile on the left of the window that pops up
 4. Push the Edit my Profile button, which brings up profile settings in a web browser
 5. It may be necessary to close the advanced setting window and reactivate the web browser window before editing your profile
 6. Click the Edit link to the right of your name
 7. Edit name(s) as needed
 8. Press the save changes button
 9. Return to the zoom meeting window
 10. End the meeting
 11. Rejoin the meeting

Activating the participants panel

- Push the participants button () in the meeting controls

Activating the chat panel

- Push the chat button () in the meeting controls